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THE LITERATURE PROGRAM OF THE GRADE 10 NEBRASKA ENGLISH CURRICULUM EMPHASIZES MAN'S CONCEPTION OF THE WORLD--HIS PICTURE OF NATURE, OF SOCIETY, AND OF MORAL LAW--AND HOW THESE THREE CONCEPTS ARE PRESENTED IN LITERATURE. UNITS COVER THE FOLLOWING TOPICS--(1) "MAN'S PICTURE OF NATURE," (2) "THE LEADER AND THE GROUP," (3) "SIN AND LONELINESS," AND (4) "TRAGEDY." THE FOCUS OF THE LANGUAGE AND COMPOSITION PROGRAM IS ON "MARCO-RHETORIC," THAT IS, THE ARISTOTELIAN CONCEPTS OF ORGANIZATION WHICH CONSIDER THE "SPEAKER," THE AUDIENCE, THE SUBJECT MATTER, AND THE RELATIONSHIPS AMONG THEM. THE 10TH-GRADE LANGUAGE UNITS RELATE TO THE UNITS IN PREVIOUS PACKETS ON THE RHETORIC OF THE WORD, OF FIGURATIVE LANGUAGE, OF THE SENTENCE, AND OF THE PARAGRAPH, AND LOOK FORWARD TO FORMAL RHETORICAL CONSIDERATIONS IN LATER GRADES. SPECIFIC RHETORICAL EXERCISES TO REINFORCE CONCEPTS LEARNED IN THE LANGUAGE UNITS ARE PRESENTED WITH EACH OF THE LITERATURE UNITS. INTRODUCTIONS TO UNIT MATERIALS, BIBLIOGRAPHIES FOR TEACHERS, SUPPLEMENTARY STUDENT READING LISTS, AND SUGGESTIONS FOR TEACHING PROCEDURES AND AUDIOVISUAL AIDS ARE ALSO INCLUDED IN THE PACKET. THIS MANUAL IS AVAILABLE FROM THE UNIVERSITY OF NEBRASKA CURRICULUM CENTER, 231 ANDREWS HALL, LINCOLN, NEBRASKA 68508. THE RELATED STUDENT PACKET FOR GRADE 10 IS TE 000 066. (DL)

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A CURRICULUM FOR ENGLISH

Grade 10

Teacher Packet

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A CURRICULUM FOR ENGLISH

Teacher Packet

INTRODUCTION TO THE UNITS

Grade 10

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TE000 065

THE TENTH-GRADE UNITS

RECOMMENDED SCHEDULE

Unit	Title	
I.	"Macro-rhetoric"	1 - 2 weeks
II.	"Man's Picture of Nature"	9 - 11 weeks
III.	"The Leader and the Group"	8 - 9 weeks
IV.	"Frustration and Loneliness"	8 - 9 weeks
V.	"Tragedy"	8 - 9 weeks
		34 - 39 weeks

CORE TEXTS

NOTE: All supplementary texts, which are listed in the individual packets, should be made available in school libraries.

I. "Macro-rhetoric"
None. Materials are included in the unit.

II. "Man's Picture of Nature"

The Pocket Bible or The Holy Bible (family-approved Version)

Lao-Tze, The Way of Life (New York: New American Library, Mentor Paperback, 1955).

Cline (ed.) The Rinehart Book of Short Stories (New York: Holt, Rinehart, and Winston, 19__). (75¢)

III. "The Leader and the Group"

Machiavelli, The Prince (New York: Mentor, 19__). (60¢)

William Shakespeare, Julius Caesar (New York: Washington Square Press, 19__). (45¢)

Willard Swire (ed.), Three Distinctive Plays About Abraham Lincoln (New York: Washington Square Press, 19__). (60¢)

John F. Kennedy, Profiles in Courage (New York: Pocket Books, 19__). (35¢)

Giovanni Guareschi, The Little World of Don Camillo (New York: Pocket Books, 19__). (50¢)

IV. "Frustration and Loneliness"

Thomas Hardy, The Return of the Native (Signet, 19__). (50¢)

John Steinbeck, The Pearl (New York: Bantam Books, Inc., 19__). (40¢)

Cline, (ed.) The Rinehart Book of Short Stories (New York: Holt, Rinehart, and Winston, 19__). (75¢)

Coleridge (Laurel Poet Series) (New York: Dell Publishing Co., 19__). (35¢)

V. "Tragedy"

Christopher Marlowe and Sophocles, Doctor Faustus and Oedipus Rex (New York: Washington Square Press, 19__). (35¢)

Eugene O'Neill, The Emperor Jones (New York: Holt, Rinehart and Winston, 19__). (95¢)
OR
J. M. Synge, "Riders to the Sea" (Samuel French, 19__).

DESCRIPTION OF UNITS

I. Literature

The tenth grade literature program concerns itself with the way in which man tends to conceive the world about him: man's picture of nature, of society, and of moral law; it deals with literary presentation of these three pictures. The first unit deals with man's picture of nature as it appears in generally animistic works, as it appears in classical works, Christian works, and in the works of writers who write under the influence of the scientific revolution or of such romantic writers as write in rebellion against it. The unit concerning man's picture of society, "The Leader and The Group," deals with the ways in which men organize themselves into groups and their concomitant demands upon the leader. It deals with several historical periods--the medieval period, where John of Salisbury is taken as the representative political thinker and The Song of Roland as the representative work; the Renaissance period where Machiavelli is taken as the political thinker and Julius Caesar as the work; the period in American history from Thomas Jefferson's letters to Drinkwater's Abraham Lincoln; and the modern period where John Kennedy's Profiles in Courage is taken as a representative work in the democratic tradition, and The Little World of Don Camillo, which represents the interaction between western and eastern political ideologies is the literary selection. It should be noticed that "The Leader and the Group" unit links with the units concerning the hero which are presented in the eighth grade, but its emphasis is more upon the relationship between the leader and his following whereas the eighth grade units concern the hero in himself. The units dealing with man's picture of moral law deal with man's sense of separation from God and from the good. They speak of what Kierkegaard has called fear and trembling coming over man. The unit on frustration and loneliness includes literary works which treat the psychology of such sickness unto death and such fear and trembling. The unit on tragedy endeavors to show something of how the tragic writer treats the suffering, isolation, and loneliness which beset the tragic hero. The tragic hero is not only an isolated and suffering man. He is also generally the leader of a group, and he is a man who must discover his place in nature, society, and the laws of God and man. Thus the tragedy unit is a kind of summary unit. It brings together the thematic content of the other tenth grade units. Moreover, the tragedy unit is concerned with another of the genres and so relates to the genre study of the ninth grade. It prepares for the study of Shakespearean tragedy in the twelfth grade. The tragedy unit, like the unit on nature and the leader and the group, studies its topic during several historical periods: the classical period, the medieval-Renaissance period, and the modern period. These divisions are oversimplified and somewhat arbitrary, but they are useful pedagogically.

The unit on Nature deals specifically with man and his relationship to nature. The outcome of the unit should be a conscious awareness on the part of the student of his place in this natural environment and his important, yet finite, role in life.

A. Indian songs--approximately one week. The poetry selections should be read in class and are suitable to students of all levels of ability.

B. The Classical Tradition--approximately one week. The selections are suited to all ability levels and a careful reading by the student of all introductory materials is required. A careful preparation by the teacher in establishing the concept of the epic form is important.

C. The Hebraic-Christian Tradition--three to four weeks. A variety of materials suited to all ability levels is included, from which the teacher will select and utilize materials suited to his class. It is imperative at the outset to establish the understanding that a study of this section does not cross religious lines and is not inteded to do so. The beauty of the literature will reveal itself to the student as he involves himself in the various selections.

D. The Age of Reason--approximately one week. For all but the capable learner, this section will require careful classroom analysis by teacher and student.

E. The Romantic Movement--one to two weeks. It is suggested that the materials be read in class. There are ample supplementary materials in this unit for the able student.

F. The Modern Dilemma--approximately two weeks. The poetry selections should be read in class. The materials are suited to grouped and ungrouped classes. The Open Boat lends itself to a variety of analyses through extensive use of guide questions for reading, discussion, and composition exercises.

It is suggested that nine weeks be allowed for "The Leader and the Group" in the tenth grade English program unless the teacher prefers to omit the supplementary writing assignments, in which case eight weeks.

The unit stresses the way in which literature expresses the ideals of its age, specifically the ideals of leadership. The final purpose is thus to examine character and theme, usually a subordinate theme, in works of literature; but to get at this purpose, one must first examine the ideals themselves. This need to study both the statement of the ideal and its literary expression, with the statement of the ideal at times necessitating more explanation than the literature itself, occasionally creates an awkward ambivalence of focus; thus the teacher may frequently find it necessary to recall the students' attention to the ultimate purpose of the unit.

The unit, organized chronologically, treats both the statement of the ideal and the literary embodiment of the ideal for each of four different ages: medieval, renaissance, nineteenth century and twentieth century. It follows quite naturally the modernism expressed in the nature unit. In such a world one would expect leadership to be expressed via the result of man's reason and independent thinking. It links itself with the Age of Reason material in that just as man began to doubt and explore for himself, so he found that such exploration likewise led to areas of leadership. Not only was he concerned with his relationship with the natural world, he found it a necessity to be concerned with his individual position with the group; and ultimately with the leadership and form of that leadership of the group of which he was a part. For man must be a part of a group, and some leader must lead that group. At this point the concepts, as they have been developed from the medieval days to the present, enter the curriculum.

It would be well to point out that no attempt has been made to include all the possible types of leaders nor the possible forms in which leadership may resolve itself.

A. Medieval Period--approximately one week
In John of Salisbury's The Statesman's Book, the suggested procedure is to emphasize depth reading and concept building. These concepts should then be applied concretely to the general character study of the protagonists in the selections from The Song of Roland. Classes of average ability may need help with the initial reading and interpretation of John of Salisbury.

B. Renaissance Period--approximately three to four weeks
A multiple approach is presented for the reading of Machiavelli's The Prince. In addition to concept building, The Prince may be explored for its style, satire, and impact on the modern world. Classes of average ability will need a great deal of help with this reading, and it is suggested that only the Introduction and chapters 1, 7, and 25 be used. The reading of the entire book should be attempted only by able students. For average groups approximately three days should be allowed for such reading; a week is required to read the whole book. Julius Caesar applies The Prince's concepts through detailed character analysis. Rhetorical principles as applicable to the style of the writing and to student composition are to be stressed. Three weeks should be adequate for the teaching of this play.

C. Nineteenth Century--approximately two weeks
The concepts of the democratic leader are presented via selected letters of Thomas Jefferson. A careful analysis of the style as well as the content should be required of students to help develop concepts and ideas for model letter writing. The Drinkwater play, Abraham Lincoln, should be read for an appreciation of its treatment of ethics in human relationships. Approximately one week of teaching time is suggested for each study.

D. Twentieth Century--approximately two weeks
One aspect of modern leadership theories is to be found in the reading of excerpts from J. F. Kennedy's Profiles in Courage. The reading should be directed toward fact-finding to be utilized as a basis for theme writing. A light treatment of a very serious modern struggle is shown in the literary application of the modern view in The Little World of Don Camillo.

The student packet for the third literature unit, "Frustration and Loneliness," presents the student with many study guide questions and discussion questions on each of the pieces studied. In some cases, notably for The Return of the Native, a set of questions has been included which was designed simply to aid the slower student to an understanding of the work. The teacher should not insist that the students do every question which appears, but should make his requirements suitable to the group situation. In other cases, the study questions and discussion questions have been included together in one set of questions; these have been arranged, usually, in a simple-to-difficult order so that the teacher may use the opening questions for the weaker students and the later questions for the stronger students.

Very little by way of biographical or historical background has been included for the student, nor is there a special need for the teacher to add to it; rather, one might well keep the students' attention fixed on a study of the works themselves (as the study guides tend to do). Many of the particular works contain background material on the authors and their times, material which the teacher may use if this seems necessary or desirable.

A complete and careful study of this unit will require approximately eight weeks' time. The teacher of a slow or average group may find it necessary to omit some of the material because of its difficulty. While most of the selections can be studied profitably by average or superior students, "Young Goodman Brown" and The Return of the Native will probably be too difficult for slower students.

The unit on tragedy is intended to be the final literature unit for the tenth grade. Although the suggested time schedule calls for nine weeks, this unit can be taught in seven weeks by dint of crowding. Three basic plays should be read by all students, and better than average or even average students might be instructed to read one or more of the supplementary reading assignments. A one-act play, "Riders to the Sea," is an alternate independent reading selection, and questions on it have been included in case the teacher wishes to recommend it for certain students.

The basic plays are:

A. Oedipus Rex, the Bernard Knox translation. Recommendations for methods of teaching this play are included in the Teacher Packet.

B. Doctor Faustus by Christopher Marlowe. Recommendations are made for teaching in the teacher packet. These first two plays are to be studied in class.

C. The Emperor Jones or "Riders to the Sea." Students will read one or both of these plays independently, outside of class, and will then prepare the written assignments required.

At the conclusion of class study of Oedipus Rex and Doctor Faustus, students will try to discover the meaning of "tragedy" through inductive questioning.

II. Language and Composition

The language and composition studies suggested for this level deal with the larger forms of rhetoric: the relationships between "speaker", audience, and subject matter which are suggested in Aristotle's rhetoric, the concepts of the larger organization of discourses which Aristotle made so much of. This rhetoric unit very obviously relates to the previous unit dealing with the rhetoric of the word, of figurative language, of the sentence and the paragraph. It relates to the unit dealing with word choice and semantics and the units dealing with the rhetoric of the sentence. Each of these studies of small rhetorical units ultimately will make sense only in terms of the larger rhetorical structure. The consideration of the question of larger forms in rhetoric is a supplement to the consideration of the larger forms of literature and of the kinds of attitudes and stances which the artist takes toward his audience which form the main body of the ninth grade literature course study.

Placement: This unit should be used at the beginning of the year. The steps used in classical rhetoric will aid the pupils in making a more logical analysis of the written materials. These steps are also a basic necessity in developing the written materials connected with the literature.

With a very slow group the instructor will need to read through the material with the class. The investigation for the composition on Aid to Underdeveloped Nations will need to be done under the instructor's supervision and the resulting composition can be quite brief, perhaps just the development of one point. The Aristotelian division into four parts is useful for pupils.

This unit is easy to use early in the year; no text is needed. The first part, The Declaration of Independence, is in the packet. The investigation for the second part, Aid to Underdeveloped Nations, can be done in the library.

Exercise: Specific rhetorical exercises to reinforce the concepts learned at the beginning are included with each of the literature units.

A few exercises in the units, for example the one on John of Salisbury, are based upon the study of the multi-level sentence in the Micro-Rhetoric packet. For this reason, this packet, although part of the ninth grade material, should be studied by the instructor.

The literature selections in "Man's Picture of Nature" include Indian songs and legends, excerpts from Virgil's Aeneid and Pope's Essay on Man, from Hebrew-Christian writings and samples of Chinese mystical literature. Works of the Romantic Period, the Nineteenth, and Twentieth Century have also been included.

Most of the selections to be studied in this unit are mimeographed and appear in the Student Packet. The short story, "The Open Boat", can be found in The Rinehart Book of Short Stories.

Except for the Indian songs, the material has been arranged in chronological order.

LANGUAGE

Language activities of the INDIAN SONGS AND LEGENDS, THE CLASSICAL TRADITION, and THE AGE OF REASON selections deal with the use of the dictionary. Students are asked to explain the meanings of words.

RHETORIC

The student is asked to write an original poem or prose piece, patterned after one of the selections in THE INDIAN SONGS AND LEGENDS section of this unit.

LANGUAGE (continued)

Emphasis, in the works studied in THE ROMANTIC PERIOD, is placed on figurative language. The same holds true for THE HEBRAIC-CHRISTIAN TRADITION selections.

THE MODERN DILEMMA's language activities concern themselves with the choices of words the authors have made.

Songs: "Therefore I Must Tell the Truth," "Incantation for Rain"

Question 4

In line 7 is the speaker referring perhaps to something for which we do have an English word (or at least a word borrowed from Latin)?

Question 5

Look up the word "incantation." Does the definition help you to understand how the "Incantation for Rain" is different in purpose and method from the other songs?

Song: "The Buffalo Rock"

Question 4

For "The Buffalo Rock" look up the term "animism" in a dictionary or, better still, an encyclopedia.

THE CLASSICAL TRADITION

Excerpt from the Aeneid

Question 21

Identify: Scylla, Cyclops. Explain Aeneas' speech to his friends . . . Explain the meaning of "chance," "Change," and "destiny" in his speech.

RHETORIC (continued)

Suggestions for paragraph and theme writing, concerning man's place in the world about him, can be found in the Student Packet at the end of the literary periods studied.

Composition

After having read and studied this excerpt, draw your conclusions as to man's place in the world about him as revealed in your reading.

1. What is man's place in nature?
2. What was man's relationship to his gods?
3. What was the relationship of the gods within their own family unit?

LANGUAGE (continued)	RHETORIC (continued)
	4. How did the gods help or hinder Aeneas and his men? 5. What is the meaning of the word "destiny" as used in this excerpt? 6. How would you explain the natural obstacles, such as the storms which crippled the group? Note: This information may be used as a basis for a theme, a paragraph, or a class discussion.

THE HEBRAIC-CHRISTIAN TRADITION

Creation Story

Question 5 Select the words and phrases which you think convey a poetic quality. Are there any figures of speech? Any metaphors? Any personifications and similes? Compare these that you find with those in James Weldon Johnson's poem. Save your notes for a theme of comparison. Are there any figures of speech in the Indian picture writing? Explain.	Explain the meaning of the following in a well-planned paragraph: "And out of the ground the LORD GOD made to grow every tree that is pleasant to the sight and good for food, the tree of life also in the midst of the garden and the tree of knowledge of good and evil." *Genesis*. Write a theme comparing the use of figurative language in the tree creation stories. If you have read or seen the play "Green Pastures", you may wish to write a theme comparing its picture of God and His world with that of *Genesis*. Compare the story of the creation as read in *Genesis* with a creation story of another group not studied in this unit. (Mythology collections may be helpful.) Supplementary exercise In the portion dealing with Gilgamesh's entrance to the land of the dead, find parallel stories in other literature. Select three. It may be helpful to examine Book 11 in the *Odyssey* and the Greek myths of Persephone. Write a theme of comparison.

AGE OF REASON

Lines 99-112 of *Essay on Man*	Lines 267-294 of *Essay on Man*

LANGUAGE (continued)

Question 2

What seems to be Pope's distinction between "science" and "nature"? Note the adjective which qualifies each word.

Question 3

Find and explain the example of irony in these lines.

THE ROMANTIC PERIOD

"To a Skylark" - Shelly

Question 1

What are the four famous similes Shelley uses to describe the bird?

Question 7

Of what is the skylark symbolic?

"Ode to the West Wind" - Shelley

Question 4

What is symbolized by the fact that the poem begins in Autumn and ends with the coming of Spring?

"To Autumn" - Keats

Question 2

Who is the "him" in line three? This is an example of personification. Explain by giving further examples of the poet's giving human characteristics to inanimate objects.

Question 3

What does the first stanza suggest of the poet's attitude toward Autumn? Look at the words "fill," "swell," "plump" to see what these images of fullness suggest.

RHETORIC (continued)

Question 3

Summarize the conclusion Pope draws for man from the observations he has made in this section of the poem. Write an essay explaining (and offering illustrations of your own) Pope's "new" definitions for Chance, Discord, and Partial Evil.

Composition
According to Pope, what can one learn about the nature of the universe by studying what can be seen?

Composition

Sometimes it seems that the Indian in his primitive view of nature is much like Wordsworth. Explain this notion by either agreeing or disagreeing. Give reasons.

Substantiate the belief of Wordsworth that all nature is a living, moving spirit.

LANGUAGE (continued)

THE MODERN DILEMMA

"Hap" by Thomas Hardy
Question 1

Look up, in a good dictionary, the word which serves as title for this poem. What more commonly used word would have fitted this poem? Can you think of any reason why the poet might have chosen a less common word here than a common one? Would "fortuitousness" have been a better or worse choice? Why?

"The Darkling Thrush" by Thomas Hardy

Question 1

Find the specific words in the first stanza which create the tone.

Vocabulary study

Make a list of words from "The Open Boat" which denote color. Find as many as you can. This should develop into a surprisingly long list. How many are familiar to you? Can you think of any other writer who displays a marked sensitivity to color?

RHETORIC (continued)

"The Open Boat" by Stephen Crane
Question 9

Discuss or write a paragraph developing the following as it applied to the story:

"It would be difficult to describe the subtle brotherhood of man that was here established on the seas. No one said that it was so. No one mentioned it. But it dwelt in the boat, and each man felt it warm him."

Find another example of such imposed brotherhood due to necessity from real life situations, from history, or from literature. Write a theme of comparison or one of contrast. Draw together some reflections of your own to include in your conclusion.

Paragraph writing

Throughout the story, "The Open Boat," we are exposed to the author's sensitivity to color. Select several instances from the story and give reasons why a particular color was used.

The unit on frustration and loneliness includes the following: a novelette, several short stories, a long poem, and a novel. These literary works treat the psychology of fear and trembling which has overtaken man as studied in the previous unit, "The Leader and the Group."

The unit is to lead the student to examine various works of literature in which frustration and loneliness are important aspects of the human condition, to distinguish the sources of isolation in these works and to encourage an understanding of these situations.

LANGUAGE

The Pearl
Question 11 of Chapter III concerns the metaphor, and Summary Question 9 requires an evaluation of the author's style.

Short Stories
"Young Goodman Brown" -- questions 21 and 22 deal with defining allegory and finding the author's use of

RHETORIC

The Pearl
There are three composition suggestions relating to writing a paragraph.

Short Stories
Final 2 or 3 questions in each of the study questions are designed for possible use as composition exercises.

LANGUAGE (continued)

language peculiarities to reveal setting.
"The Lagoon" -- questions 13 and 14 concern the author's manner in setting the tone of the story.
"Clay" -- question 12 asks the student to discover how the author has made the style of the language suitable to central character, Maria.

Rime of the Ancient Mariner
There are several questions relating to word choice, symbols, and figurative language.

The Return of the Native
50 questions of vocabulary to find definitions, synonyms, antonyms, and root meanings, and a list of 100 vocabulary words comprise the language activities of this selection.

RHETORIC (continued)

Rime of the Ancient Mariner
Several study questions designed for composition, such as writing a critical analysis or summarizing a speech of the mariners, are included.

The Return of the Native

1. Suggestions for compositions are given at the end of the discussion questions.
2. Summary section also includes questions to be used for compositions.
3. Several of the discussion questions for the various selections are designed for possible use as brief composition assignments.

For the most part the language activities in "The Leader and The Group" are included in the students' guide questions. The rhetorical assignments are given separately and explained in detail. There are five specific assignments in writing in addition to the supplementary suggestions for varied composition development found in any of the summary questions.

LANGUAGE

Vocabulary: Definition
Study questions on The Statesman's Book by John of Salisbury:
No. 2, Chapter 1
No. 2, Chapter 2
No. 4, Chapter 8

Study question over The Prince:
No. 12, "Introduction" by Christian Gauss

Etymology
Assignment from Jefferson's Letters:
This study offers an excellent opportunity to show pupils inflectional changes which have taken place in English. The word "brethern" for example, illustrates the fact. The

RHETORIC

Analogy Exercise:
The model for this exercise is found in the The Prince. Students are asked to classify the material into four divisions, and by using these divisions as a basis of organization, write an analogy beginning something like this: "There are two kinds of students . . ."

Themes Illustrating Rhetorical Organization:
Composition assignment:
As students read Julius Caesar, they are instructed to make lists of character traits of major characters. From their lists and observations they are

LANGUAGE

lesson may also be used to illustrate changing influences which bear upon languages. Latin heavily influenced Jefferson's word selection. If letters were written by twentieth-century statesmen are available, it is suggested students make a comparison of vocabulary selections and language changes.

Dialect
Study question on "Abraham Lincoln" by John Drinkwater:
  No. 4, Scene IV

Metaphor and Symbol:
Exercises are found in the study questions on The Statesman's Book:
  No. 4, Chapter 2
  No. 4, Chapter 3
  No. 1, Chapter 8
  No. 3, Chapter 8

Exercise found in the study questions on The Prince:
  No. 2, Chapter 25

Question No. 9 over The Song of Roland

The exercise found in an excerpt from one of Jefferson's letters listed under IDEAS PERTAINING TO NATURAL RIGHTS:
  No. 10

The exercise found in an excerpt from one of Jefferson's letters listed under IDEAS PERTAINING TO RELIGION:
  No. 2

RHETORIC

asked to develop a four-part rhetorical theme on one of the four main characters, based upon Aristotle's principles of rhetorical presentation.

Composition assignment:
Students are asked to write a long theme developing a statement of case based upon the story in Profiles in Courage.

Letter-writing Assignment
Students are asked to write a letter of persuasion meant to bring about improved conditions in classroom, school, or community. The assignment is made in connection with the study of Jefferson's Letters.

Paragraph of Explanation:
The students are asked to write a paragraph explaining a quotation from The Little World of Don Camillo.

TRAGEDY

Oedipus: Compare passage from verse translation with parallel passage from prose translation. Guide questions are provided for the comparison.

Oedipus: Study carefully a speech by Creon and discuss rhetorical devices such as proposition, appeal, rhetorical question, emotional appeal, pathos, ethos, universal truths, ethical appeal.

Paraphrase the final speech of Oedipus.

Composition assignment: Theme of analysis: Using Aristotle's definition of tragedy, do you feel that Oedipus

LANGUAGE	RHETORIC
	Rex fulfills the requirements of a tragedy? OR Analyze Oedipus as a tragic hero.
Doctor Faustus: Examples of how language indicates the character of the tragic hero. Student is to discover other areas in which language reveals the character of Faustus.	*Doctor Faustus*: Paraphrase the final speech of Faustus.
Multi-meaning language study, combined with vocabulary study. Discovery of connotative and denotative words.	Written assignment: Using Aristotle's form, prove that the story of Faustus is that of a man who gained the pleasures of the world and lost his soul.
	The Emperor Jones: Rhetoric framework is in the teacher packet.
Riders to the Sea: Discovery of technique used by the author to give the speeches the Irish idiom.	*Riders to the Sea*: Composition suggestions in student packet all call for short compositions.

The tenth grade program has been designed with particular attention to the interests of students at this age level. The questions of identity, relation to the natural and social worlds, isolation, and suffering concern many young people. The modern sense of history, perhaps more penetrating and more disturbing than that of any previous age, should insure responsiveness to a skillful explanation of the chronologically ordered consideration of each unit's topic. The year's selections are varied enough that the teacher and most of the students will probably find at least one of them among their favorites.

A CURRICULUM FOR ENGLISH

Teacher Packet

MAN AND NATURE:
MAN'S PICTURE OF NATURE

Grade. 10

Experimental Materials
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    A. The Open Boat

Man's Picture of Nature

Grade 10

Core Texts:

The Rinehart Book of Short Stories (Holt, Rinehart and Winston, Inc.)
Supplementary texts: None; all necessary material is included in the Student Packet.
Overview: This unit is closely connected with the twelfth-grade unit "The Writer as Rebel and Prophet." It is also closely related to the seventh-grade "Myth" unit, and to the student's knowledge of the American West, of heroes, and of Norse mythology. Its materials are designed to provide the students with a foundation for the eleventh-grade literature study of three themes in American civilization. In addition, nature is so important in English literature that this unit provides information pertinent to most of the other units of the curriculum.

GENERAL INTRODUCTION

Early in their reading it should become clear to the students that the word "nature" is an elusive one. In its most restricted sense it will mean the world of growing things, animals, earth, sky, and water (as distinct from the creations of man). But it may also mean all that has ever been believed to be involved or implied in the natural world (as well as in the world of man's construction); that is, the "supernatural" as well as the "natural." It will involve the beliefs men have held about the nature of the gods (or God) or about the absense of them (or Him). It will involve their beliefs about the relation of man and his world to the whole universe and its governing principles. Nature may even come to mean the very pattern of events themselves.

The teacher should begin this unit by trying to elicit from the students the reasons why the way individuals and groups of people regard the universe is of incalculable importance to their behavior and to their mental and emotional stability. In order to feel "at home" in this world and to lead meaningful, satisfying lives, people must operate from certain assumptions about its nature and purpose. Obviously something more than the elementary desire to stay alive has moved men for as long as we know anything of human history. Great personal sacrifices have been made by individuals and whole peoples which do not make any sense except in the context of their view of the universe and man's place in it.

The students might then be asked to describe some of the attitudes toward nature about which they have heard or read. Most will know something about Indian legends and classical myth, and all should know something of the Hebraic-Christian tradition. After the nature of the inquiry is established, the students might be asked to write a paper describing what they think is the attitude toward nature held by most of the people they know or a paper classifying the various attitudes toward nature held by people they know or have heard about. Unless the students are rather clear that our inquiry is into the meaning of the natural world and man's place in it, the writing of this paper should be postponed.

The teacher might next describe the content of this unit, being careful not to claim for this material either all-inclusiveness or infallibility. What the students will find is not what everyone at some particular time thought about nature, but what someone (perhaps representative of a group) has believed. If the papers described above have been written and are successful, it should be fairly clear to the students that even today not everyone sees the world in the same way--not even the physical world in its simplest manifestations.

The presentation of all the materials should be similar. They are to be treated first as works of art, and only secondarily as vehicles for particular concepts of nature. The first step is to make sure that the students have grasped the situation represented in the work and understand its plain sense. The depth of penetration into the selections and their meaning will depend, of course, on the capacities of the students in any particular class. Students of average capability have been kept in mind as the materials were chosen.

In most cases the study and discussion questions following each selection in the student packet can be used as essay questions, according to the teacher's wishes.

I. Science and Religion

Students at this level should be developing their critical faculties beyond the point of accepting at face value everything they read. The essays by Albert Einstein and the selection from Simone Weil's Waiting for God are included to give the student some exercise in critical thinking. Einstein and Weil have quite different, almost opposing, viewpoints on the same subject. They also provide a point of reference for the rest of the reading in the unit.

The student must first be brought to see the assumptions that underlie these selections and the implications involved in what is being said. In other words the student must learn to see what is actually being said. He can then form some critical opinions about the work.

Einstein's essays are written for the layman and his simplicity of style will no doubt lead the student to assume he understands what is being said. The most important things the student should draw from these essays, however, are things that are not directly stated but are implicit in Einstein's thought. The student should be able to say something about the position Einstein is taking and the conclusions he arrives at, seeing how these are affected or determined by his position. The study questions are designed to give the student some insight into the readings, but it may be necessary for the teacher to provide more. The student should, however, arrive at an understanding through his own critical analysis. He should be led to see things for himself, not just told what is going on.

In his essay "Religion and Science" Einstein starts from the assumption that "feeling and longing" are the "motive force" behind the development of all religions. He distinguishes three types of religions or religious feelings: religion of fear, moral religion, and cosmic religion. These categories are not mutually exclusive according to Einstein. He is, however, saying that religion goes through an evolutionary process. It develops from a primitive level to a sophisticated level, and in Einstein's opinion this development is directly related to the society's scientific development. In other words the more scientifically advanced a society is, the more sophisticated a religion it will have.

There is also a value judgment implied in Einstein's classification of religions. A moral religion is better than a religion of fear, but a moral religion still shows a lack of imagination. Like primitive religion it retains anthropomorphic characteristics, which Einstein sees as undesirable. The most sophisticated religion developed, and as Einstein sees it, the "best," is the "cosmic religious feeling." "The individual feels the futility of human desires and aims and the sublimity and marvelous order which reveal themselves both in nature and in the world of thought. Individual existence impresses him as a sort of prison, and he wants to experience the universe as a single significant whole." This is cosmic religion. The God of this religion is by no means a traditional one. He is not a God who wills anything or interferes in any way in human life or events. He possesses no qualities traditional religions have attributed to their God. Einstein's God is, in fact, the order of the universe itself and nothing more.

It will be noticed that throughout his essay Einstein speaks of religion and God as man-made. His assumption is that people create a God to explain natural phenomena--that they substitute God for causality, not understanding or not accepting the latter. Einstein analyzes religion from a completely "rationalistic" point of view--as something that can be explained by looking at matters of causation in the "right way." He leaves out all questions of faith and miracle, and assumes that once an intelligent man is shown that his beliefs or "myths" are in opposition to rationality he will give them up.

The logical conclusion of Einstein's thought is that when a society reaches a high level of scientific development, when causality and the order and determinism of the universe become clear and are accepted, a society no longer has need of religion. But at this point Einstein finds a purpose for religion--". . .The cosmic religious feeling is the strongest and noblest motive for scientific research." In other words cosmic religion provides man with a sense of devotion and awe before the "rationality" of the universe and thus makes possible great achievements in science. Einstein claims he is arguing that the function of science is to awaken the cosmic religious feeling, but he is in fact arguing the opposite--the function of the cosmic religious feeling is to provide the proper attitude for work in science.

In the second essay, "Religion and Science: Irreconcilable?", Einstein says approximately the same thing. He argues that it is the mythical or symbolic content of religion which brings about conflict between religion and science. He argues that existing religions divested of their myths do not essentially differ. It is safe to assume that what Einstein means by divesting them of their myths is reducing them to an awe for the universe. His major point in this essay is again that this awe is necessary for advancement in science.

If the students show a tendency to accept Einstein's opinions just because they are Einstein's opinions, it should be pointed out to them that genius in one field does not necessairly make one a great authority or great thinker in other fields. Einstein is not in fact a philosopher. He is not an historian of religion. He is a scientist and remains a scientist in these essays, though he is trying his hand at philosophy. His thought is often unclear and he does not carry things to their logical conclusions. It is hoped that the carelessness of his thought will at some point become clear to the students. One example of this carelessness is obvious in the first essay when he speaks of a man who accepts causation (and here it is assumed Einstein is describing his own feelings). "A God who rewards and punishes is inconceivable to him for the simple reason that a man's actions are determined by necessity, external and internal, so that in God's eyes he cannot be responsible, any more than an inanimate object is responsible for the motion it undergoes . . .. A man's ethical behavior should be based effectually on sympathy, education, and social ties and needs; no religious basis is necessary. Man would indeed be in a poor way if he had to be restrained by fear of punishment and hope of reward after death." If Einstein had been more careful he would have seen that these two statements contradict each other. If a man is not responsible in God's eyes because his actions are determined, then can he be responsible in his own eyes if he accepts causality? And if a man's actions are determined, then his ethical behavior cannot be based on sympathy, education, and social ties and needs. It also will be determined. The logical conclusion of what Einstein says is that man can have no ethical behavior. Ethical behavior involves will and choice and if a man's actions are determined, if he cannot be held responsible for them, then he makes no choice and his actions can be considered neither ethical nor unethical.

The selection from Simone Weil is much more difficult reading than Einstein appears to be. It is perhaps most difficult because she provides no examples to clarify what she is saying. By comparing and contrasting the views of Weil and Einstein the student should be able to understand more of what she says than if she were presented alone.

While Einstein starts from disbelief and arrives at a "rational religion," Simone Weil, on the other hand, starts from belief and sees everything in terms of the existence of God. When she says ". . .nothing short of the universe as a whole can with complete accuracy be called beautiful," it may sound a great deal like Einstein's ". . .he wants to experience the universe as a single significant whole," but the assumptions they start from give these statements very different meanings. For Simone Weil the beauty of the universe depends upon the existence of God. For Einstein the existence of "God" depends upon the beauty or order of the universe (they are identical in Einstein's thought). Simone Weil sees the beauty of the universe as a manifestation of God. Her God is the traditional God who does hold men responsible for their actions.

Anything short of the universe as a whole, claims Simone Weil, is beautiful only when referred to the universe as a whole, or in other words to God. These lesser things provide "openings to universal beauty." If they are seen as beautiful in themselves, without reference to universal beauty or God, then they corrupt. Her discussion of science is given as an example of this principle. It must be remembered here that she is using "beauty" in a much wider sense than is common. "Beauty," as she uses it, includes also the elusive concept of truth. Beauty is not subjective; it is absolute order. The true and the beautiful are akin. If the findings of science are considered "truth" without reference to the universe as a whole, without reference to God, then they are not truth but are distortions. The function of science (as of everything else) is to provide a route to God--"the presence of Christ, expressed through matter which constitutes the world." If science stops short of this, then it veils rather than reveals the truth and beauty of the universe.

Einstein's "cosmic religious feeling" is exactly the kind of distortion Simone Weil means. It is science for the sake of science, and finds its God in science. Einstein does not refer the order of the universe to God, but takes it for God. Simone Weil would probably say that the conflict between science and religion arises not from the "mythical" content of religion, but from science passing as the total "truth." Nature as Simone Weil sees it is the manifestation of the beauty of God. Nature as Einstein sees it is God. Her thought proceeds from her kind of faith. Einstein's proceeds from his kind of "rationality."

The students will want to make these readings basis for arguments about their own faith, or lack of it, their own attitudes toward nature, and so forth. The purpose of the instructor should be to keep students from turning the discussion into a smoke-filled session by driving them back into the texts from Weil and Einstein and asking them to understand the logic and logical limitations of Einstein's or Weil's positions, instead of using them to talk about something else.

II. American Indian Tradition

The remarks introducing Indian literature in the student packet are meant to be general, and are superficial. This should be made clear to the students. The remarks are meant as a starting point, but the opinions the students form about Indian literature should come from the literature itself, and not be dictated by the introduction.

The literature itself is varied enough that it is difficult to make any valid generalizations about it. The best procedure would be to treat it piece by piece, comparing and contrasting the pieces with one another, but avoiding sweeping generalizations about the literature as a whole. The literature suggests various moods and attitudes which the students should distinguish. It is meant to be typical, but the teacher should point out to the students that it is not necessarily indicative of what "the Indian" (a figure as unreal as "the average man" in our own society) positively believed. It does represent what particular Indians felt and thought about nature.

The teacher must be careful to avoid the stereotype picture of "the Indian," either as "the primitive man," or as "the noble savage." The Indian literature is included to give the student some appreciation of another peeples' views, not to flatter him with the 'superiority" of his own culture. He should derive from his study of this section the realization that the "civilized" peoples of the world by no means have a monopoly on sensitivity, and may well be lacking in areas where other cultures excelled. The interpretation of "The Basket of Plenty" is included with the hope that the student will realize that what may seem to him to be simple and crude, or even silly, is often too sophisticated for him to understand, or the meaning may depend on knowledge he does not possess.

In some instances there are discussion questions and essay topics included in the student packet which refer back to Einstein's theories on primitive religion. These are meant to develop the student's ability to use specific examples to object to or to support sweeping generalizations such as those made by Einstein. The Indian literature presented here does not express "fear," but in most cases awe, and the students should see this. Einstein's idea of "religion of fear" would not be acceptable to most anthropologists, and if the student tends to accept Einstein's point of view without questioning it, it should be pointed out to them that this was not his field and he is not an authority on primitive religion.

In discussing the Indian poetry or songs (all Indian verse was either sung or chanted) the teacher should remember that it is not spontaneous self-expression. The Indian song does not really exist as a pure art form; it always served an end. Poetry was valued by the Indian singer primarily for the reaction it produced within himself rather than for any effect he was able to produce in others by means of it. It should be pointed out to the students that this poetry can fully be understood only in its functional setting, as a tool of the group and a product of deep-rooted tradition.

"Birds and Frogs," which opens the Indian poetry section, differs from the rest of the selections in the lightness of its tone. It has humorous qualities which should be obvious to the students as similar attitudes are expressed with the same lightness in our own society.

The rest of the poetry is in a more serious vein, but shows important variations in tone and attitude. The poetic imagination of the Indian circled, naturally, with greatest persistence around the questions of life and death and man's place in the world. "God's Drum" displays philosophic overtones of man's insignificance and his determined fate. It has a rather pessimistic attitude toward life and death. In sharp contrast to it is "The Last Song" which views death as noble and not to be feared. It displays man as a glorious part of Nature rather than as insignificant in comparison.

"Incantation for Rain" differs from the others in being more obviously a part of Indian religious ceremonies. It is best to remember here the Indian concept of the word as power--the power to bring about the desired result upon which the singer has fixed his mind. More importantly, however, the poem is an example of mimesis of elements of the natural world. The Indians employed the various sounds produced by surrounding Nature as part of their poetic style.

"Smotalla Speaks" sees Nature as a friendly and protecting force. The emphasis on dreams in this poem is explained by the fact that dreams were regarded as the chief means of communication with the spiritual world.

Because the Indian literature presented here depends so much on cultural background for understanding and appreciation, the treatment of it will necessarily be superficial, and this should be emphasized to the students.

III. Classical Tradition

A. The Myths

(See the 7th grade unit on Classical Myth)

Generally myth is not the object of literal belief. And early in the history of Greek culture the Greco-Roman pantheon was regarded more as manifesting the nature of truth under the cover of fictions about it than embodying the actual nature of the divine. It is certain that by the sixth century B. C., classical people viewed their myths as allegorical. Every myth had a physical or moral application. Thus certain gods were said to rule the eternal cycles of nature; others, like Mars and Venus, became allegories for ideal and despicable patterns of behavior, while others represented natural processes and historical events.

The myths included in this section of the student packet were selected with a view toward presenting characters of classical myth as clear personifications of natural forces and phenomena. The students should be able to analyze the stories, interpreting the picture of human-divine relationships and of nature, and discovering the figurative content presented in them. The teacher should direct the reading and discussion toward the central themes of the myths. What kind of characters does each myth present: divine, divine and human, human heroes, ordinary sensual men, humans characterized by criminal behavior, or typical animals: To what extent does the myth seem to refer to nature, religious ritual, actual historical heroes, the character of the group, its values, its ideal conception of behavior, or its customs? What kind of cosmos constitutes the world of the myth? How is this cosmos different from or similar to the ordinary world around us?

The selection from the Odyssey presents two fabulous monsters of the Sicilian Sea, Charybdis and Scylla. Because she had stolen the oxen of Hercules, Charybdis was struck by Zues' thunderbolt and changed into a whirlpool whose vortex swallowed up ships. Scylla is supposedly an octupus, but she probably also represents the perils of a reef or some other rock formation. The selection from the Faerie Queen parallels the myth of Scylla and Charybdis and should help the students to understand the latter. The Gulf of Greediness and the Rock of Vile Reproch, however, are more than personifications of natural obstacles. They are moral allegory, for on them are found ". . .carcasses of those that. . .made violent shipwreck both of their lives, and fames."

A volcano is personified by the character Cacus in the Aeneid. Cacus is appropriately fathered by Vulcan who is the god of fire and usually represents fire in the myths. The other selection from the Aeneid shows Juno interfering with the fate of Aeneas. Juno usually represents either memory or air, and she can be seen as both in this selection.

B. Classical Philosophy

The material presented here is intended as background for the teacher. It is not intended to be communicated directly to the students. From the selection itself the students should be able to formulate some notion of

Plato's Theory of Forms. Wherever the teacher can help the student to understand the work, he should do so and in such a way that the students are encouraged to exhibit insights by themselves. The selection should make the students give some thought to abstract language and the way we use it.

Plato assumed that reality is dual; that there are two worlds. First of all there is the world of sense perception which is apparent to all of us. It is the world of physical objects existing in time and space. We see it, smell it, hear it, taste it, and feel it. It is a world in flux; everything in it is always changing. For example, you are not exactly the same person you were an hour ago. For one thing you are an hour older. But also you have probably lost a few strands of hair, acquired a little dirt under your fingernails, the taste in your mouth has changed, etc. You cannot, then, be exactly the same as you were an hour ago, or even a minute ago. And this is the way it is with everything in the physical world.

.But Plato conceives of another world in which nothing ever changes. Nothing is ever added to it or taken away from it. It is absolute and eternal. This is the world of Forms. It is nonphysical, nonspatial, and nontemporal. We cannot see it, hear it, taste it, or feel it. How then do we know it? Plato asserts we know it by thought; the Forms are, in fact, the object of thought. Forms are universals; they are the object of knowledge. The sense world on the other hand is made up of particulars which are the object of sense perception.

But though the Forms are the object of thought, Plato does not mean they exist only as a thought in somebody's mind. To take away the mind is not to take away the Form. Forms have existence independent of the minds which think of them, or apprehend them. Consider, for example, a mathematician who is thinking of a theorem in geometry. If he works out the theorem that the interior angles of a triangle equal two right angles we would not say that he invented the theorem but that he discovered it. If he were to say that the interior angles of the triangle equal three right angles he would be wrong. It would be like saying two and two equals five. Thus we can assert that the triangle with certain fixed properties exists independent of the mathematician's mind. But what kind of existence does the triangle have? It must be more than the physical triangle drawn in ink on a piece of paper. The mathematical triangle is a plane figure enclosed by three straight lines with only one dimension, length. But the piece of paper is not a perfect plane, and the lines drawn in ink will have some breadth, however fine. It is therefore obvious that the physical triangle is not the real triangle. It does not fill the properties attributed to the real triangle, but it has some sort of relation to the real triangle. The object of the mathematician's thought is not a particular (this triangle drawn in ink on paper). The properties he asserts for the triangle hold universally. Thus the mathematical triangle is a universal object which is nonphysical, nonspatial, and nontemporal. It is the object of thought, not of sense. This is the kind of existence that Plato asserts for the Forms.

The physical world is made up of particulars which stand in some sort of relation to the universals of the Form world. In the physical world we find for example dogs: big, small, fat, thin, black, white, spotted, old, young, mongrels, thoroughbreds, bad tempered ones, sluggish ones, and so on. They are all dogs, but somehow no two of them are exactly alike, and some of them are quite far from being like others. What then leads us to call them all "dog"? Plato asserts that there is a Form Dog, a universal, which is perfect in every aspect and from which all the particulars (all the dogs of the physical world) draw their qualities of "doginess" in varying degrees. In other words the physical world is an imitation of the Form world and draws what reality it has from the Forms.

Plato uses the analogy of the shadow of a physical object to explain the relationship between the Form world and the physical world. If we take a dog and watch the shadows he casts throughout the day we will see that the shadows are all imitations of the physical dog and that the accuracy with which they represent the physical dog will vary according to the position of the sun. So it is with the physical dog in relation to the Form Dog. The fat, lazy old mongrel is a very poor imitation of Dog, just as the blob which is the shadow of the physical dog around noon is a very poor imitation of him. The thoroughbred dog may be a very good imitation of Dog but he, like the most accurate shadow cast by the physical dog, is still a shadow.

Plato also conceives of Forms for qualities and this is the most difficult part of theory of Forms to understand. In the Ladder of Love, Plato treats the Form Beauty and how one arrives at it. It should be noted that the word "form" as it is used in the selection does not mean "Form" but refers to physical objects. It is important that the students understand what is meant by absolute Beauty. The term "Form" should not be introduced. They should see that this is Beauty separate, not embodied in any physical object. It may be helpful for them to give examples of other qualities which cannot exist separate from physical objects--color, smoothness, roundness, heaviness, lightness and so on. It is suggested that the teacher collect pictures of several things that are quite different but that are considered beautiful--works of art, a horse, a car, woman, sunset, etc.--and show these to the class in connection with study question #6 on "Beauty in every form is one and the same." The students should try to explain why they would call each subject beautiful and attempt to formulate the relationship of one type of beauty to another. They should see that something may be wrong with the statement "Beauty in every form is one and the same," and show how and why it is wrong. Last of all they should try to explain why Plato would make this statement.

C. The Wind in the Willows

Traditionally the fable is a short narrative which uses talking animals or inanimate objects (but sometimes human beings) to personify abstractions of good or evil, of wisdom and foolishness, of virtue and vice, in concrete dramatizations of simple plots in order to teach a moral lesson. The personifications of the fable illustrate qualities and the actions of the characters, provide examples of behavior that are intended to be understandable in the simplest terms. Fables are especially useful for satiric purposes and behind the surface of The Wind in the Willows lurks the gentle social satire. The story describes a society of animals whose structure parallels that of British Society in the late nineteenth and early twentieth centuries. Each animal represents a social type.

The conservative and inefficient society of the beasts has its roots in nature and the book's firm foundation in the world of nature makes it an important selection for this unit. The students should be encouraged to read the entire book and consider it in terms of the objectives of this unit. The basic theme of the book lies in its concept of nature as the "cement" of human society.

The episode included in the student packet takes a form common in children's literature--the adventure of leaving the secure home, venturing into the great and mysterious outside world in isolation, meeting some monster or problem, and overcoming it. The "monster" turns into an incredible glory at the moment of revelation.

In "The Piper at the Gates of Dawn" Grahame expresses a sense of the presence of the divine in the natural world. This treatment of nature bears comparison with that in the first of the Romantic poets. It links Grahame with some of the Christian mystics, such as Wordsworth and the American transcendentalists. To present the glory of nature Grahame draws on the classical tradition. The mythical character Pan is the piper. But here, as he usually does in classical myth, Pan personifies the Spirit of the Woods--the divinity of nature. The emphasis here should be on the picture of nature Grahame presents rather than the classical motif. But with the background the students have had in the curriculum program they should recognize Pan.

IV. Herbraic-Christian Tradition

This section follows the classical tradition and it is important that from the beginning the students distinguish between the way classical myth presents the gods and nature and the way the Hebraid-Christian tradition presents God and nature. In the one, the gods and nature are not only identified but are inseparable. It is nature that is divine. In the other there is no temptation to see nature as under the control of quarreling deities and man as an insignificant pawn in the struggle. Nature in the Hebraid-Christian tradition manifests the glory and power of God. But God and nature are quite separate and distinct; the one is the creation and servant of the other.

All the selections included in this section of the student packet celebrate the praise of God in the natural world. None of the writers regard nature, whether in her repose or her turmoil, whether in her aspect of grace or of terror, as an end in herself. It is the sense of God's presence which gives glory and meaning to the natural world. Nature is full of God; it acts as the theatre of His glory. All admiration of nature, in the view of these writers, is a confession of that glory. To them there can be no praise of nature apart from the praise of God. The emphasis here is on the mystery of God's grandeur and the necessity for man to understand as much as he can of God both through the natural creation and through direct revelation.

A. The Psalms

The first four verses of Psalm 8 express marvel at God's grace and condescension to man. God has set his glory so conspicuously in the heavens that all eyes see it, and even the lisping tongues of children confess it. His glory is so great that the scarcely articulate praise of a child is a rebuke to the wicked man. In view of all this there is an overwhelming sense of man's insignificance. Then the Psalmist shifts to a consciousness of man's true greatness in nature. The sovereignty of man in the natural world that the rest of the verses express echoes Genesis. Man's place in nature as sovereign serves as witness to the glory of God, as does man's insignifivance in comparison with the heavens.

In Psalm 18 two distinct themes are contrasted--God's revelation of Himself in nature and His revelation of Himself in His word. The Psalm speaks first of God's glory as seen in the heavens, and then of His glory as manifest in His law. The works of God, all creation, bear constant testimony to their Maker. But the Psalm expressed the feeling that more important witness of God's glory is His word. The law declares the justice of God.

The theme of Psalm 104 is creation. There is distinct recognition of the absolute dependence of the universe upon the Creator. Creation is here not regarded merely as a thing of the past. The universe is not a machine once set in motion and then left to inexorable laws or fate. The main outline of the Psalm follows the story of creation in the first book of Genesis. But the creation of the Psalm is a creation of the present, while that of Genesis is a creation of the past. Genesis portrays the beginnings of eternal order while the Psalm portrays creation as a perpetual, living spectacle.

B. Dante

The emphasis here is on the order of the universe, and how God's glory is manifest in this order. All things are ordered in themselves and are part of the universal order. It is their order which makes them like to God. Their order is the signet mark set upon them by God.

Dante expresses awe at God's power and glory with the seemingly paradoxical statement, "And the Providential God who rules this wonderful order sits in stillness at the center of the great revolving spheres and from His stillness does the swiftness come." This pictures God as the Unmoved Mover. Later Dante attributes the motion of the spheres to love--"and the movement of that ring of stars is made swift by the fire of the love which it and those stars feel for the point of fire which made them."

With this selection the teacher should concentrate on the metaphors Dante uses and the effect they produce: God as a still point of light from which the spheres draw their motion; the universe as a book in which one can read the glory and power of God; God as the great Form or Mould Maker who moulds the whole world--sets His signet mark on all things that exist; God's glory as a fighter; Dante's desire and will like "a wheel whose turning turns unjarred." Dante's imagery celebrates the awe and mystery of God's glory. The students might be asked to compare the way Dante expresses the glory of God with the ways in which the same feelings are expressed in the Psalms.

V. The Age of Reason

The term "Enlightenment" designates a period of thought rooted in the 17th Century, but which reached full bloom in the 18th Century. Central in

Enlightenment thought is a view of man--that man is endowed with the ability to think and through thought to discover truth. This ability Enlightenment thinkers called Reason.

In the 17th Century Isaac Newton discovered that by means of a few simple formulae, a great hodgepodge of "facts" about the physical universe could be reduced to order. By the 18th Century the impact of Newton's discoveries was overwhelming. Everywhere thinkers were searching for laws which would make order out of every sort of phenomenon. Thus we find Adam Smith for instance discovering the principles of economic behavior, and the Italian Vico searching for the principles in historical and social phenomena. Science was read and pursued by nearly all thinkers. The German literary figure Goethe left fourteen volumes of scientific writings on biology and physics, the philosopher Berkeley experimented with tar water as medicine, and Thomas Jefferson avidly read ancient and modern scientific writing. Ben Franklin with his kite is a typical Enlightenment figure.

All science is relatively schematic thought. Inquiring into human nature was considered even more important than inquiring into the physical world. We find the British philosophers Locke, Berkeley, and Hume discovering order in the human mind--trying as Newton had done to reduce a complex phenomenon to in Hume's words a few "constant and universal principles." When Jefferson writes in the Declaration of Independance "we hold these truths to be self-evident, that all men are created equal. . .", he is appealing to such principles. He is saying that your mind and my mind and everybody else's is such that if we only use it, we will see that what he says is true; that is, it is "self-evident."

Our founding fathers were products of the Enlightenment in that they had enough trust in the reasoned opinions of all men that they felt a people could wisely choose its own leaders. They trusted what the Frenchman Rousseau called the "general will." They believed that given the chance, human reason would find the right way.

When the Enlightenment man looked at nature--including the human mind--he looked through spectacles which made the crooked straight and the rough places plane. Reason had proved to be such a wonderful tool in Newton's case that thinkers of the Enlightenment could not fail to see in reason a wonderful tool for all variety of purposes.

The God of tradition was believed on faith. Such basis for belief in God was repugnant to some. They wanted to believe in God on the basis of Reason, and not on the basis of faith or authority (Scripture). As Thomas Paine exhorts in The Age of Reason, "Search not the book called the Scripture, which any human hand might make, but the scripture called the Creation. . . It is only by the exercise of reason that man can discover God."

The attempt to prove God through reason is the basis for the argument from design. People who tried in the 18th Century to follow Paine's advice were called Deists. In America Benjamin Franklin and Ethan Allen, among others, were Deists.

All this is not to say that there was no great variety of thought in the Enlightenment. But the trend is clear when the period is compared with its predecessor and successor. Such diverse thinkers as Alexander Pope and Voltaire are linked by their trusting reliance on almighty Reason.

A. The selections from Berkeley, Hume, and Paley are all versions of the Argument from Design. They urge the reader to look around him and see all the order, and to imagine that order coming together by chance. Since it could not come together by chance it must have been put together. Design implies a designer. A watch, as Paley observes, requires a watchmaker. The design in the Universe, too, requires a designer. At least so they thought.

These arguments proceed by analogy. That is, things are compared. Paley sees the Universe as like a precise watch. The character in Hume's dialogue see it too as a watch or as a great machine, or as a great building, the mortar and bricks of which are the mighty planets circling precisely in their orbits. (Hume himself did not hold this view, but he presents a clear statement of the argument). Berkeley uses the words "concatenation" and "contrivance," which indicate that he too thinks of the Universe as like a product of human invention such as a watch or building.

The student should be encouraged to try bringing these arguments down to earth. The study questions are aimed at helping him do so, by relating them to his own experience. An array of examples may help him to assess the worth of these arguments. The teachers should help him seek a variety of them if he cannot do so on his own. How is the Universe orderly? (Blake's poems from the Romantic section can be used here). There is the order of the planets, of a crystal, there are the teeth of the tiger so that he may eat, there are little lambs for him to eat. There is wool to keep the little lambs warm, and many little lambs to ensue the survival of the species. But there is also disorder and evil. These the Enlightenment man tended to overlook. If the order proves an Orderer is he "One, Eternal, Infinitely Wise, Good, and Perfect," as Berkeley seems to think his argument proves him to be? Is he the God of Scripture? The Students should make a list of disorderly things as well as orderly. Can the universe be called orderly when it is seen from the point of view of earthquakes, when stars explode, when volcanoes erupt, when drouths wipe out animals by the millions? By thinking of an array of such examples the student will come to see that the arguments are not so neat as they may at first seem. The arguments spring from an Enlightenment picture of nature. They depend on our seeing only the order and not the disorder. They spring from an ideal concept of nature.

Such criticism is by no means anti-religious or atheistic, and this should be pointed out to the students. A person can agree with the conclusion of an argument without accepting the argument. For instance, most of us agree that driving 100 mph is unsafe, but would not accept the argument that it is unsafe because it causes cancer.

The selection by Pascal presents various objections to the Design Argument which the students should be able to pick out and analyze.

VI. The Romantic Movement

The teacher's best preparation for teaching this section may well be to read the twelfth-grade unit entitled "The Writer as Rebel and Prophet." That part of the student packet called "The Roots of Romanticism" and the remarks in the teacher packet about the poems discussed in "The Re-examination of Nature" should be especially helpful.

Although the poems of Blake, Wordsworth, Coleridge, Shelley, Keats, and Byron run a vast range of techniques and ideas, there are nonetheless certain commonly-held presuppositions and ways of thinking which justify describing them as comprising a literary movement. Among these common characteristics is a set of attitudes toward nature which might be summarized as follows:

a. Nature is seen by the enlightened perceiver as the cloak of some power greater than nature ~~or~~ individual man.

b. Nature may be seen a a model of perfection--perfect beauty, perfect harmony, or perfect order.

c. Man is exalted by close contact with the natural universe. The city is seen as a place of corruption which observes false (unnatural) values.

d. The child, in his assumption of identity with nature, is wiser than the adult who "knows" only in more limited ways.

Childhood becomes a metaphor for certain mental and spiritual qualities--purity, innocence, reverence, reliance or instinct, and the capacity for awe.

Each of the poems in this section presents some aspects of typically Romantic attitudes toward nature. The questions in the student packet are designed to help the students see these attitudes. These questions should not be considered exhaustive; the teacher may want to make other observations about both theratic and technical qualities of the poems. Suggestions of the relationship of these attitudes to other "pictures of nature" in this unit may be especially helpful.

VII. The Modern Dilemma

In this section writers are included who in one way or another see in their time a chasm between man and nature, or at least an increasing uncertainty on the part of man concerning his relationship to nature. It is not to be supposed that these writers represent any particular progression of ideas or beliefs about nature. Certain attitudes are, perhaps, more widespread or popular at one time than another, but it is quite clear that throughout modern times some men have been able to see nature as the creation and revealer of God, while at the same time other men have seen nature as a product of blind forces and utterly irrelevant to man's interests or desires.

A. The Open Boat

This is an apparently simple, straight-forward story of four men in an open boat who are alternately hopeful and dejected about their chances for rescue, but who eventually reach shore. Although the story appears to be relatively uncomplicated, the teacher would do well to make sure first that the students are clear about the order and nature of the events in the narrative.

The students should then be directed toward determining the viewpoint from which the story is told. The class should be reminded that the apparently inobtrusive element of viewpoint in a story may contain an important clue to the story's full meaning. In reading The Open Boat the students should have no difficulty in seeing that the physical viewpoint is from the boat itself. The whole of the opening paragraph is devoted to establishing the reader very firmly in the boat, looking horizontally out at the jagged waves which seem "thrust up in points like rocks." (The particular effectiveness of the imagery in this story needs to be brought out by discussion in class, probably as individual lines are examined and then later in a unified explanation.) The significance of the opening sentence should be noted. The reason why none of the occupants look skyward should not be hard to discover: the waves are quite sufficient to occupy their whole attention. They are involved in a life and death struggle with those waves.

Another observation about the viewpoint in this story may not come until much later. But in time the student should see that the mental viewpoint in the story is neither that of the author as author, nor exclusively that of any single person in the story. It will be tempting to say that the viewpoint is the correspondent's, but the story goes on even while the correspondent is asleep and the reader is aware of the oiler's thoughts as he rows. Again the first paragraph gives the clue: the viewpoint is that of all the men at once. All share both a common physical vantage point and a common mental attitude toward the events. The common viewpoint is violated in a few instances when the author intrudes to give the reader information or to make philosophical observations.

The class should observe rather early that none of the characters have full names and that only one of the characters has even a first name. The fact that they are called "the cook," "the oiler," "the correspondent," and "the captain" seems to require some explanation. The reference to the characters by their occupations rather than by names gives an almost allegorical quality to the story. It should also be noted that aside from the correspondent none of the characters are very fully developed--their personalities do not come through to us, only their common plight. It is as if these people are not just four individuals, but four representatives of mankind. They are all said to look upon their experience in the same way. There are implications in the story that the attitudes these men display are not necessairly the result of the catastrophe, but are also the attitudes and confusion man displays in facing the universe and its workings. Most of the preceding can be noted before one has gotten very far into the story.

The Open Boat begins in the middle of things. The reader never does learn the details of the shipwreck which put these men into this situation. The student who insists on looking at this story as simply an adventure ought to be urged to ask himself why Crane did not then include the shipwreck scenes, which surely would have made exciting reading. The emphasis throughout the story is not so much on what is happening as on how the characters feel about what is happening, and this ultimately becomes a question of how they feel about both the world of physical nature and the world of physical and psychic events, which are also part of nature in the larger sense of the word.

Besides introducing the situation, the characters, and the viewpoint, Section I also establishes the tone of the story and introduces Crane's characteristic imagery of description. Students might well be asked to determine as nearly as they can the state of mind of the men at the end of this and each of the following sections. In this connection they might pay special attention to the descriptive passages. Their attention should be called to the very specific and concrete detail and the frequent use of metaphorical language.

One apparently insignificant observation may be made which will perhaps prove useful in discussing the final theme of the story. Several times Crane hints at a kind of personification of the physical surroundings. For instance he describes the waves as "wrongfully and barbareously abrupt and tall." These adverbs have no relevance to natural objects except as they are consciously or unconsciously assumed to have human moral or ethical standards. One might strain the term personification a bit and note that the boat is described at some length as at least a living creature bravely, even scornfully meeting the challenge of the water. Finally, and ultimately more important, the waves themselves are given human characteristics; they are "nervously anxious" to swamp the boat, they are "grim," they have a "terrible grace," and they "snarl." We might observe that by the end of the story it is this very personification of nature that the men in the boat have come to believe is false. They have come to the conclusion that nature is indeed indifferent to them and their plight.

In Section II the soberness of the opening section is deepened in two ways. First the captain chastises his "children" (note that Crane specifies that relationship) for somewhat foolish optimism and then, sorry for having done so, he attempts to comfort them immediately afterward. Then the gulls fly over, and to the men they are "uncanny and sinister in their unblinking scrutiny" and "are somehow gruesome and ominous."

This section offers a particularly good example of the way in which sentence rhythm reenforces sentence sense. The first four sentences of the paragraph beginning "In the meantime the oiler and the correspondent rowed. . ." suggest by their almost inane repetitions the wearying drudgery of the rowing.

At least one of the important themes of the story is introduced explicitly in Section III: "It would be difficult to describe the subtle brotherhood of men that was here established on the seas." After an account of their common weariness and sympathy, the section ends with a cheerfulness which has been building up since the end of Section II.

Section IV plunges us at once into disappointment and bitterness and introduces the refrain which culminates in the final theme of the story: "If I am going to be drowned, why. . ." The refrain is repeated at the end of this section, followed by "silence, save for an occasional subdued growl of a crest."

Students may well wonder about the odd episode which takes up the position of interest in this section. If they do not yet know the term irony or irony of situation, they might be introduced to it through this scene in which men who are in imminent danger of dying mistake a sightseeing bus for a lifeboat on a wagon and apparently the people in the bus think the men in the boat are fishing and wave gaily at them.

The apparent senselessness and irony of their fate which has been the theme of the preceding section prepares for a return to the motif of Section III, brotherhood. Again the men are described as if they were children (perhaps this is why we are given the name Billie). Their need for companionship is emphasized; and even in their desperate weariness the correspondent and oiler are more than commonly gentle and considerate with one another. The presence of the shark does not really increase the fear of the one man who is awake to see it; only he wishes that someone were awake to "keep him company with it."

Section VI is more exclusively devoted to the theme of the story than any of the preceding sections. The others have been involving the reader vicariously in the experience itself, and now it is time--just before the climax--to draw out the implications of the situation as Crane sees them. (One must always be careful to so qualify descriptions to a writer's theme, for no matter how heartily the teacher may agree with that theme, honesty should force him to make it quite clear that other writers might have reached other conclusions. It is even more important that he avoid forcing on a work of literature an interpretation which agrees more closely with his own views but which simply won't fit the facts of composition. To read Divine Providence into this story, for instance, would be simply dishonest. Crane quite obviously has no such intention. He may be wrong, but it is his story. Students must learn, early and well, respect for accuracy of reading. Where ambiguities persist, they must be admitted as such and not be adapted to the student's or the teacher's particular notions.)

The opening paragraphs of this section speculate on the mental state of men in a situation such as this in language that probably no one in the boat would have used except the correspondent, though we are told in a paragraph that all of the men had reflected on these matters. The conclusion drawn is that a man in this condition will come to realize that he is not really important at all to nature, that his life or death means nothing to the universe. Note that in a separate paragraph Crane speaks of the consequent "desire to confront a personification." This may provide the clue to the frequent use of personification in the story. The men seem to need to feel that nature is at least hostile toward them not utterly indifferent. But the bitter truth they feel is that nature's reply to man's plea for recognition is a "high cold star on a winter's night." Class time would be well spent on a brief discussion of symbolism and on what is being "said" by the symbol of a star which is both high and cold and seen in winter.

The recollection by the correspondent of a poem he has learned in childhood might be used in an aside to demonstrate how such things take on real meaning only after our experience has come to comprehend the kind of experience the writer is talking about. Students are frequently rather scornful of emotional or intellectual states which they have not personally experienced. More important, however, is the effect of this poem on the correspondent. Students frequently read hastily and assume that the correspondent is feeling sorry for himself--a not at all unlikely conclusion, but nonetheless far removed from what Crane actually says: he "was moved by a profound and perfectly impersonal comprehension. He was sorry for the soldier of the Legion who lay dying in Algeria." Note the word "impersonal."

This little episode in the story relates directly to the theme of brotherhood that is being developed. The result of this personal hardship and fear is to make the men more sensitive to the needs of one another and even to the sorrows (in this case) of a character in a poem.

The seventh section draws together the two themes of the brotherhood of men and the essential isolation of men in an indifferent universe as the action of the story reaches its climax.

The third paragraph of this section performs the function of unifying the themes and in the process offers another example of symbolism (the tower as a giant representing nature) for the class to analyze.

The irony often implied in the story is brought to a sharp climax in the death of the oiler. Crane has taken pains to establish the fact that the oiler is a "wily surfman" and quite obviously in better physical condition than any of the other men; yet the weaker men reach shore safely and he does not. For the correspondent nature even seems to work a miracle, but of course by now we understand that there is no meaning in what she does: she saves the correspondent and drowns the oiler and there is no more reason in the one than in the other event.

If the students have been kept aware of the imagery of the story from the very beginning, they will be prepared for the last two paragraphs, which might otherwise seem ambiguous. The implied personification in the words "welcome" and "hospitality" simply carry on the personification begun in the first section, but now there is a difference. The experience with the men has taught them that there is no personal concern in the manifestations of nature, that the "welcome" of the land lies in the human view entirely, so far it is warm and generous, but for the one it is sinister.

The last paragraph reenforces this theme and even takes us forward a few hours as if to indicate that the knowledge the men have gained is to stay with them. Perhaps the key words in this one-sentence paragraph are "then" and "interpreters." They suggest that the experience we have just "witnessed" is the cause of the fact that now the men from the open boat understand nature better than ever before and are now interpreters of her language (a symbolic one) and intent.

The students may wish to consider The Open Boat as a picture of the sense of the "indifference" and "inexorableness" of nature which may make people reach not through the experience of "nature's laws" in a boat but through their study in a laboratory. One might also wish to compare and contrast Einstein's optimistic determinism with Crane's grayer cast.

"The silence of the indifferent spaces terrifies us."

2

A CURRICULUM FOR ENGLISH

Teacher Packet

THE LEADER AND THE GROUP

Grade 10

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Experimental Materials
Nebraska Curriculum Development Center

The Leader and the Group
Teacher Packet
Grade 10

Core Texts:

William Golding. Lord of the Flies (New York: Capricorn Books) ($1.25)

William Shakespeare. Julius Caesar (New York: Washington Square Press, Inc.) (45¢)

John F. Kennedy. Profiles in Courage (New York: Harper and Row, 1964). (65¢)

Giovanni Guoreschi. The Little World of Don Camillo (New York: Pocket Books Inc., 1965). (50¢)

Materials to be read:

William Golding, Lord of the Flies
Passage: Aristotle, Ethics and Politics
Short Passage: Cicero, Laws and Republic
Short Passage: St. Augustine, The City of God
Passage: John of Salisbury, Policraticus
Passage: Nicolo Machiavelli, Discourses
Nicolo Machiavelli, The Prince
William Shakespeare, Julius Caesar
Passage: John Locke, Second Treatise on Civil Government
Short Passage: Thomas Jefferson, Letters. Collected Writings
John F. Kennedy, Profiles in Courage
Giovanni Guareschi, The Little World of Don Camillo

OVERVIEW

This unit continues the students' study of the use of ordinary language. The students have previously studied, in the eighth grade, "Words and Their Meanings" and, in the ninth, "Uses of Language." The present unit will prepare them for the unit on inference in the eleventh grade. The materials of this unit range chronologically from Aristotle to William Golding and, generically, from political documents to tragedy. Although the students will read these materials to gain a sense of the history of the concept of "leadership," the central concern of the unit is to lead the students to an awareness of when someone is making sense and when he is not, why he is or why he is not.

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I. General Introduction

A. What is in a Question?

This is a philosopher's unit. It will work with some of the questions which men have asked themselves about their own attitudes toward and their relations with other men; it will consider some of the answers that have been given. The questions were asked by thoughtful, responsible men and were not, of course, invented by philosophers. But the philosophers you will read generally did not ask the questions in exactly the same way that other men asked them, for in philosophy, genius seems to consist most often of a thinker's ability to see the questions more clearly than they are seen by those around him. His activity differs from that of other men asking the same question primarily in that he tries to think out clearly what is the character of the questions which are being asked by his peers; in some cases, he also tries to see what answers can sensibly be given to those questions.

This unit begins with the question: "What is a leader?" But that question comes to be a question about how groups have used the word "leader" and other related words in various ages: about the kind of vocabulary of law, obligation, natural sanction, religious imperative which has gone with the vocabulary of leadership, about how that vocabulary has been used—in what social and linguistic contexts (cf. 9th Grade, Uses of Language; 8th Grade, Words and Their Meanings.)

The point of this whole unit might be reduced to the following simple rule of thumb: if you want to understand what you read, you must think about what you read. To think about the "questions and answers" you will read and work with in this unit is mainly to ask on your own the questions which the philosophers asked. It is also to try to answer the questions yourself.

Let us begin with a question related to the question of leadership: the question of what makes the law, the law. This is partly a question about how the phrase "the law" is meaningfully used. But it looks like a question about things—like the question: "What makes a buffalo so strong?" The Sophists asked the question "Why should I be moral?" "Why should I obey the law?" Many of the thinkers you will read tried to answer these and other questions. But unless you have been led to ask these or similar questions yourself, this reading will be wasted. "Why should I obey the law?" Do you have an answer? Where do you look for an answer? "Why should I be moral? What is wrong with lying? Is it wrong?" These are questions that have always nagged at men, and unless they also scratch you a little—if you are in fact not troubled by such questions—then it is unlikely that you will come away from these readings with much.

Now consider one or two of those questions which will be the touchstone for all our discussion through this material. (There are other questions, of course, which would do as well):

> "Why should I be moral?"
> "Why should I obey the law?"

Many answers will be given, and you will do well to keep them in mind as you proceed. But for now, do this: Consider in what context, in what situation in your public or private activity, business or play, you would be likely to ask one of these questions of yourself. What sort of circumstances would lead you, or any man, to ask the question: "Why should I be moral (or tell the truth, not cheat, etc.)?" Give an example, construct a brief story if you like, in which someone asks this question. Now, once you have an example before you, consider the question: What has led this person (or yourself) to ask the question? Does he expect to be given an answer? Is it in fact not a question at all, but more like a declaration? E.g., you might think of a case in which someone has already cheated on an examination. When confronted with this by a friend (he would no doubt not be so brave with a teacher), he might reply, "Why shouldn't I cheat?" Now what you might notice is that this could simply be a defiant declaration very much as if to say "I cheated,—so what?" If you were this friend, how would you reply to this remark? Would you try to tell him why he shouldn't cheat? How would you go about it? Does your answer always reduce to "You just shouldn't. It's wrong."? Your answer might be "Because you only hurt yourself," etc. Any one of a hundred answers may be given, and again he can continue to ask perversely, "And why is that wrong?"

It should become clear that in this case no answer will do. It is not that you have not given an answer, perhaps a good answer, to this question. Depending on the context, any one of the above answers might be a good and sufficient answer. Notice that the answers all appeal in one way or another to what we might call the friend's moral or rational or common sense. The question originally asked, "Why should I be moral"? "Why shouldn't I cheat?" must be looked at closely in the context in which it arises. If this friend is merely voicing his defiance, his determination to be a cheat, then no answer is called for because no question has been asked. The appropriate remark to "So I cheated--so what?" is "So your're a cheat; of course, but then that's your problem, isn't it?"

The question "Why should I be moral?" or "Why shouldn't I cheat?" may be understood in the sense in which the Sophists established it 2500 years ago, namely: "What's in it for me?" In more academic language, the Sophists cited the rule of morality "One must always be truthful" (honest, etc.) and they asked the question: "Why?" In the first place, the man who lies well, the dishonest man, is more often better rewarded for his efforts. In addition they noticed that, while it makes perfectly good sense to say "2 + 2 must equal 4," or "people must eat," or rocks must fall downwards," it does not make sense to say "people must tell the truth." These musts mean: "it always happens," it is "necessary" that 2 + 2 = 4 (i.e. that's the way our numbers work); that rocks fall; that people eat (they'll starve or kill people or rave and kill people if they can't eat). But what does the must mean in "You must tell the truth." It surely doesn't mean that it always happens or that it's necessary in the way that eating is. No 'natural law' here as with gravity: no gravity made this must. For example, the Sophist might say "I just told a lie; your 'rule' or 'law' can easily be broken." This "must" can be ignored.

But "What sort of law can be broken?" The Sophists tried to point out that, if you stop to look at things, you'll notice that the hallowed "moral law" is not law at all--nothing but an arbitrary convention; that is, a rule of convenience. Its musts are not hard and fast musts. As such, then, one is free to decide when the law is convenient and when not. Thus was the problem presented 2500 years ago, and philosophers are still trying to answer the old Sophist's questions: "Why should one be moral?," and to reject his answer: "All laws of morality are mere conventions masquerading as 'universal,' 'natural,' 'eternal,' or 'divine laws.'"

The majority of the thinkers you will read were certain that there was something wrong with what the Sophists said. With their moral sense, they no doubt were reluctant to go along with the licentious declaration that "Morality is relative." They sought somehow to make absolute--or to find the absoluteness --of these "laws of morality" by searching for an objective standard or authority from which they came and to which one might appeal in all cases. The minority of the thinkers simply repeat the Sophist's questions in one form or another and conclude again: "moral law is a mere convention," "morality is a matter of taste, convenience, force, fear."

So the question remains apparently unanswered. This fact alone-- that 2500 years have produced no answer--should itself suggest one answer, which is that there may be something wrong with the question, something wrong about the way it has been asked.

To see what is wrong with the Sophist's question, we must return to some context, to some case in which some individual asks the question. Thus we come 2500 years to you and your erstwhile friend. He asks: "Why should I be moral?. it has been suggested that his question may be answered sensibly in several ways. And these several (or hundreds) of answers, offered in a specific context are, in a sense, the solution to the problem which has plagued philosophers. But this solution is not the kind that philosophers wanted. Your solution is, of course, as old as the problem; your answers are as old as the Sophists' questions. Why should your friend not cheat? You begin by telling him why you yourself don't cheat. You also answer his question (again if it is in fact a question) as simply as: "Because I don't want you to cheat--that's why you must not cheat! I don't want a cheat for a friend." Is this answer satisfactory? Now his questions might become one which gives pause. But the Sophist is not satisfied with this kind of answer and neither is the philosopher; he doesn't want an answer which tells some individual why not to cheat in a particular context; he wants an answer which tells everyone-in-no-particular context.

We have begun with an example. While the Sophists could not be answered to everyone's satisfaction (because of the character of their question), it may be seen that your friend was answered quite easily (because of the character of his question). Perhaps your answer solved his problem. Perhaps it didn't; he may have become a professional cheat, or even a Sophist. Often the trick of seeing through the Sophist's question (or any philosopher's moral question) is this--to see that a moral question, a moral problem, is always someone's problem; it is always a particular question asked by a particular individual. And if an answer can be given, it is always a particular answer given to a particular person. In the case above, the fact of friendship is part of the answer. The fact of your moral sense is essential to the sense of the answer you give.

What have many philosophers missed? Briefly, they have regarded the question of the Sophists on their own terms. The Sophist has made it a general question, and it has been suggested as a technique of linguisitic investigation for this unit that moral questions are always particular--never general. What makes these questions moral is that they involve an individual; the problem is moral, in that it is a problem of an individual conscience. No "general conscience" ever kept anyone awake at night. (We do of course speak of the "conscience of a city" etc.--but still, this has a figurative sense and is derived only from the particular case--the single individual.)

The Sophists asked a general question and found a general conclusion: that morality is a convenience--just that. Aristotle's moral-sense was repelled by such a claim. But he did not regard this, the fact that it offended his moral sensitivity as a sufficient answer. He went on to try to answer what he mistook to be a real question. But the question had by now become general--i.e., no one's conscience; in his case, no particular person's life and behavior was any longer involved. Thus, philosophers thought an answer must be given in the form of proving something, demonstrating the necessity of "moral law," proving the existence of a moral-sense, etc.; questions began to take the form "What is truth?" "What is good?" The solution of a moral problem came to be thought of as the task of finding a definition.

The philosophers have undertaken various attempts to map out the dimensions of what Aristotle and men long before him called man's moral-sense.

"Why should I be moral?" "Well, being moral is part of being a human being." You might also ask, "Why should I love anybody?" "Why must I have friends?" "Why do I feel guilty?" These questions are all of a kind, and it is worth one's effort to try to see how they are alike. "But then, isn't it true that I need not be moral?" "Well, yes, and you need not have friends, laugh, or cry, or love. But then, to the degree to which this need is absent in you, you are to that degree less a human being. If you must have 'proof' then you'll find it in the pudding, where it's always been."

When you are finished with this unit you will go on to read tragedy, and you will find individuals who are confronted with some of the problems you have met in this unit. The tragic hero is a man who, in confronting these problems, has the courage to "force the moment to its crisis." If you will work carefully with this unit, then, when you get to tragedy you will have seen something of the problems and something of the courage. And when you get to tragedy you will go on to that "moment of crisis," which brought the poet to exclaim, "What a piece of work is man!"

B. An Introduction to the Student Packet

This manual is intended to supplement and answer questions you will probably have on the material and the method of the packet.

1. The Nature of the Student Packet:

The student questions are not designed to bring out what the students remember, but what they know; they provide what might be called a teaching method and were not designed for true-false answers. Indeed, there are seldom "correct" answers in the conventional sense, and the emphasis must not be put on correctness. Instead, the teacher should decide whether the student's answer demonstrates his understanding of the questions—the point of the material. The student must come to see what question the philosopher or thinker is trying to give an answer to, e.g., What goes with the ideal of leadership? The first consideration in judging a philosopher's question and answer is "does it make sense?" More basically, the student's task is to make sense of the question: for example "Suppose we were to follow these ideals, what kind of men would that make us? Can these ideals be followed?"

2. The Criteria for Judgment in Discussion:

Your criteria for judging the response of the student will, in the first instance, be: does he make sense of the question, not "does he answer correctly?" In other words, "Does he adequately understand the question and deal with it?" The standards available here, as always, are standards of coherence, insight, and depth of thought, of logic, style, and aptness of expression. The nature of these questions, however, puts the burden of judgment on the teacher's own ability to judge students--i.e., the judgment must be subjective in the best sense of that word in that the teacher must take the responsibility of evaluating for the most part apart from the benefit of "test results."

3. A Method of Working:

The material in this unit will lend itself best to the following method: instruct students to keep a spiral reading notebook and warn them that you will take it up to read it at any time--at intervals convenient to you; say that, in this notebook, you will expect them to record their "answers," their worked out thoughts in connection with the reading and discussion questions. Say also that you will keep a notebook too, that you will use this unit to develop in yourself the habit of writing notes on what you read as you read. (A reading notebook will be helpful to you because by writing you will work out your thoughts in more detail and in a more permanent form; by trying to express clearly your ideas, or those of the writer, you will become more aware of the difficulties and problems attending the development of a particular line of thought). The reading notebook will benefit the student, of course. It will help him to bring together the closely related disciplines of reading and writing: to read in learning how to write, to write in learning how to read, and to think while reading carefully and writing analytic notes. The notebook should not serve as a vehicle for training in formal logic.

Our interest in the notebook is analytic or philosophical. It often parallels that of the authors of the material. Emphasize to the students that the questions in the unit are intended to help them understand the work--to give them an insight into what is being said. Warn them against trying to answer too many questions and so becoming superficial. If a single question cues a student to the issue, then his discussion of that question may invoke a discussion of the other questions. If the student tends to think deeply and inclusively, he should not be expected to deal with more than one or two questions in a section. The questions are, then, meant only to introduce students to a method of reading which simply states: "Read carefully with an eye to understanding and making sense of what you are reading," "Ask, 'What is so-and-so saying?'" "Slow down, reconsider, simplify, paraphrase, think of an example, perform the task of analysis"; "Make an examination of the logic of the discourse." The center of any effort at analysis is the question, "What is the basis for someone's saying this?" For example, imagine an essay written on "ethics" or "moral behavior." It is not enough for the teacher merely to ask the students to "pick out" or "outline" the argument. Too often they can do this after a brief introduction to the techniques of syllogistic deduction without at all understanding the point of the discourse. Rather, in this case, the teacher should ask the student questions like this: To what question is this discourse an answer? What questions is being answered by this writer?

What the traditional logician calls an "argument" is simply an attempt to give an answer to a question. The question, however, is not generally made explicit. But if the student can discern the question, and he sees as well the point of the discourse—i.e. the answer given to the question--then he has basically the necessary "framework" he needs. When the "analyst" examines a discourse in order to find its "implications or entailments"when he seeks where it says "it follows that" etc., what he wants to answer is the question, "Has the writer given an adequate answer to the question which he has raised?"

Getting the question clearly expressed is the first step. Now what of logical appraisal of the answer? We can look at discourse again, without being interested in its style, its ethical sentiments, or even in its truth. We can be interested in simply the question--"Does it make sense?", i.e., "Does the answer follow logically?" But this kind of logical appraisal has been represented to the uninitiated as something of a "mystery," having the aura of calculus and mathematics and the fancy symbolism of symbolic logic as if every writer first constructed an argument of syllogisms and then, to determine its "validity," found that he had to master some logician's techniques. But writers do not, of course, construct arguments. Logicians do. Any intelligent child can grasp the point of simple discourse, can "follow its reasoning" without ever having seen an "argument," or learned a single formal logician's technique. He has learned the logical uses of language in having learned how to talk and to read, by having learned the language. That the child has this basic logical sense is evidenced by his laughing at non-scquiturs, at logical jokes etc.; that is the main source of funniness in Alice in Wonderland. Our purpose is to quicken, through this unit, the Alice-in-Wonderland sense.

4. The Structure of the Unit:

The unit begins with the twentieth century and Golding's Lord of the Flies, then goes back to Aristotle, Cicero, Augustine, John of Salisbury, Machievelli, etc. To help simplify what is ahead for the students, you may want to give them a few guidelines of your own. Generally, the students are reoriented at the end of each section, both with an introduction to the reading, and with questions which refer to where they've been and where they are going. Perhaps the most obvious provision for the sense of continuity is the consistent reference to Lord of the Flies. The questions in each chapter which recall The Flies should help the student to keep oriented. But reading philosophic writing requires that the student continually keep a sense of perspective, that his discussions of one man preserve the sense of relatedness to his discussions of another man. If The Flies does not keep the issues in focus, you will have to introduce other questions from time to time, such questions as "What would Jefferson have said about Machiavelli's solution to anarchy?" This unit asks for informal composition beyond the notebook because composition which goes with it should remain "informal" and related to turning over such questions as "What would Jefferson have said about Machiavelli's . . ." The students should be encouraged to write extensive informal comments. The teacher upon reading a student's notebook, may decide to have him write a formal theme on the basis of one or another of his reading notes, but, it seems more likely that the teacher should try to train the student to write his notes through this unit; to put them in as simple a manner as is natural to him to think on paper, to pursue his thoughts in his notebook without immediate care of style or thematic continuity.

II. Golding's LORD OF THE FLIES

Have the students read the work, then ask them to work out some of the reading questions in their notebooks; you might also suggest that they note particular or striking expressions or passages in their notebooks as they read. One might have one student read his note on a particular question and then ask for comments. You may want another view or "answer" to the question and so ask another student to read his note on the same question. You will see that this is hardly a new technique; more than likely you already use it. The classical expression for such a way of teaching is "dialectic." You teach by asking questions, not by giving answers. The students should, if possible, be taught to carry the weight of the discussion among themselves. Getting this started is usually the problem. And here the notebook is very helpful in that the teacher's role then becomes one of monitoring the discussion.

You may want, at the outset, to examine the author's own comments regarding the "theme" of this book:

> The theme is an attempt to trace the defects of society back to the defects of human nature. The moral is that the shape of a society must depend on the ethical nature of the individual and not on any political system however apparently logical or respectable . . . . ("Notes on Lord of the Flies," p. 189, par. 2)

This essentially sets up the problem which is examined by the various thinkers which the students will read. Golding's remarks here might be more briefly and provocatively stated: a man can become no more than what he is. A society of men is a product of the individuals which make up that society. Other men have, of course, said the opposite--that a society is a kind of organism which is more than the sum of the men which make it up (Cf. Ruth Benedict). In Golding's view, the character and the ills of any society must be traced to the moral character of individuals--not to any particular political system. In his view, the problems of philosophy of government--of choosing leaders, of making rules by which to live, etc.--are problems, finally, of coming to grips with the limitations of individual men. In each of these works which the students read, you will discern a certain attitude or picture of "the ethical nature of the individual." Some thinkers will not agree with Golding's formulation of the problem as ethical or as individual or as "not-one-of-political-system." But all will in one way or another react toward this formulation. The questions concerning this first work were constructed to get the students to reread carefully.

1. Golding here gives us his "perspective," his point of view on his subject (Cf. Grade 9, "Attitude, Tone and Perspective"). You may want to go into some detail concerning "genre," and the notion of a "symbolic work."

2. The question of accounting for "choices" should be related to Golding's comment on the theme of his work. The question becomes: can the decision for Ralph and, later, for Jack be understood if one traces it to some facet of human nature? The children do not chose Ralph for his "intelligence," or for his obvious "leadership" qualities but for something which "marked him out": he had blown the conch. And this suggests that they react to a symbol of authority more easily than to the quality of authority. What creates the power of the conch is that the children *invest* it with the authority which it has, of course, but is there an *explanation* for this? The children don't want another *child* to lead them, no matter how able. They want a being set apart, somehow above them; and so, on the basis of the conch, they chose Ralph with his peculiar power, the power and authority which men love when they are seeking not so much to be led as to be furnished with an idol or *object of worship*: what they want is not a man to provide leadership but a god to provide everything; not a solution which provides a formula for cooperative effort, but a miracle which will free them from the demands of effort. If this is the case, then the choice of Ralph might be traced to "human nature," to its disposition toward idol worship--toward the resolving of difficulties by ignoring them or denying one's responsibility for them, or shoving them off on Fate and the Gods as if both difficulties and solution were beyond human responsibility.

2b. This may be answered in any way, but it should be clear that how it is answered indicates *how one looks* at these kinds of "reasons" as regards choosing a leader. A student may think they are, in fact, *good*reasons; in such a case, he should defend his preference by stating why the reasons which the Flies give for selecting a leader are better than other reasons which people have for choosing leaders. He must not be let off with "I think they are good reasons." The question is always "*good in comparison with what others*?"

3. The question is now what are the reasons? Are the reasons, in fact, different at all? For example, has Jack simply found a better, a newer, idol to worship? Was the conch an idol different in kind from the one Jack found? Continue with the questions in this manner. The discussion in class, however, may go in another direction; if you find a different directi fruitful,follow it, and always get the students to *think about* the issues and problems--choosing a leader, examining motives, evaluating reasons, discerning ideals. This strategy will succeed if the discussion proceeds naturally and in accordance with issues brought up and explored by the students themselves.

14. "Infinite cynicism of adult life." You should lead the student to examine this expression closely by asking him questions. For example, "with what are we to contrast *adult* life here"--with the *child's* life? with adolescence? How does "adult life" differ from these others? What is it about adult life which gives it this special character? Are *all* adults *cynics*? Can a child *not* be a cynic? Does one need to be at least 31 years old to be a cynic? These questions will get all kinds of answers, but the point is this--to get the student to *make sense of* descriptions and to draw out just what is being said. Now "drawing out" is not a matter of defining "cynicism" and "adult." Students have usually been asked to *define* cynicism etc.,and they come away with very little or no sense of the complexity and

life of words and expressions--no sense of the life of language generally. There is a great advantage in employing the question-and-example technique which is used throughout this unit. The difference between this and traditional "definitional/analytical" techniques is the difference between learning about animals by watching them live in their natural surroundings and by dissecting them.

15. Here students are asked to develop the idea of "infinite cynicism"further, in this case by contrasting it with the expression "infinite resignation." By looking at those things which may be said of a man whom you would call infinitely resigned and, on the other hand, at those which may be said of one whose life is completely ruled by his cynicism, one may characterize the difference and in many different ways. For example, in order to become resigned, one must strive to overcome (whatever). How about "cynicism"? Need there be striving here? Cynicism, by comparison at least, is less a product of living than an assumed attitude toward living. This, again, only suggests ways and means.

15ff. Here "despair" is added to the contrast. The crux of this question may be seen as an attempt to relate the expressions to belief. What does the cynic believe in? Nothing. And what is more, he is cynical with regard to the belief of others. Is the man who is resigned, even "infinitely resigned," necessarily without belief? Clearly not. His resignation may in fact be a result of his belief. The expressions most common in the case of belief related to resignation would, of course, be related to putting things in the hands of "God," "Fate," etc. What is important is that belief in something is not excluded; it is, in some cases, essential to resignation.

"Despair": A man must believe in something in order to despair at the loss of that thing. Are there other kinds of despair? In the case of despair because of loss, belief is essential. Clearly a man caught up in despair is not resigned. How do you know this? This is a question that you should have the student struggle with in his "reading notebook."

16. Here, if the students are familiar with Conrad's Heart of Darkness, you might have an interesting discussion by comparing the "inescapable recognition in Golding's work with both Kurtz' and Marlow's recognitions in Chapter III of Conrad's work. Concerning Kurtz: "Anything approaching the change that came over his features. . .the horror! the horror!" (p. 133, Signet #834). Concerning Marlow: "I remained to dream the nightmare out to the end . . . ."

17. Simon's recognition has to do with what Golding called one of the "defects of human nature." Simon has looked, as it were, into his own heart, into his own, human "Nature," and found there a "beast." It is not the beast of the man-the-animal. This beast is, of course, the worm of moral depravity in each man's soul.

21. If the students are familiar with Milton's Satan, it might be helpful to make a comparison between the beast that is within and the line "The mind is its own place, and of itself can make a Heaven of Hell, a Hell of Heaven."

III. Aristotle's Politics and Ethics

A. Introduction

Men before Aristotle asked questions about the nature of leaders and of societies. Socrates introduced both Plato and Aristotle to these questions, and in Socrates' period, with his students, moral-political thought took permanent root. So the unit begins at the beginning. Aristotle, as a beginner, had a remarkable way of hitting upon and working with the obvious: "What is the nature of man, of society?" Can one sensibly ask about purpose in this connection? Can one certainly define "man" and "society" in terms of purposes?[1]

The questions concerning the Ethics (Section A in student packet) are simply intended to remind the students that Aristotle's very simple language can also be misleading: "All actions are done for a purpose." The point here is to get some examples from the students. First what do we normally call an action with a purpose: e.g. "going to the store for butter." But what about a woman "just going shopping"? In such a case a husband might well insist that her activity has "no purpose." Even the woman herself might reply to the query, "Why are you going to the store?" with the answer, "No reason--I just want to shop." Now consider the more obvious question, "Why did you sneeze?" You might give the "cause" (e.g. "pepper") but would it make sense to speak of your reason for sneezing? Does one need have a purpose in order to sneeze! Isn't sneezing simply a muscular reaction unrelated to thought? So what about Aristotle's "All actions are done for a purpose"? Are we simply reminding him he forgot a few which are not? Or are we rather reminding ourselves that "purpose" is a tricky word so we had best get in mind a clear case of what is being said? Aristotle is in effect (if not in intention--and this is beside the point in any case) telling us that all actions can be understood in terms of purpose. Purpose is a kind of analytical eye-glass through which we can profitably look at various actions and which enables us to speak of the "nature of the thing and the activity at which we are looking: "A knife is for cutting; a man is for thinking." "All actions are done for a purpose" seems to amount to "all things and activity may be given an explanation in terms of purpose." Or, more nearly, in the terms of Aristotle's language, "The nature of a thing may be discovered in what it does ." You can tell what a knife is by knowing it is for cutting; but can you tell if it's stainless steel or vanadium? In trying to get at the queerness of what Aristotle is saying, it may be useful to look at the following sentences:

A. The Purpose of a knife:
A knife' purpose is to cut bread.
I use a knife to cut bread.
Bread is cut with a knife.

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[1] The traditional expression used in this connection is "teleology." A good, brief, and easily read work which may help to provide a general background to the peculiarities of Greek philosophical thought is W. K. C. Guthrie, The Greek Philosophers, Harper Torchbooks, 1960, (95¢)

B. The Purpose of a man:
A man's purpose is to think.
I use a man to think.
Thoughts are thought with a man.

What these sentences are doing is simply trying to get the student to look closely at what appears to be a very curious, a perhaps obviously wrong assertion, trying to get him to endeavor to make whatever sense of it can be made. The teacher should not let the class get hung-up this early in the unit; many questions throughout the unit are of the same kind.

B. Suggestions Concerning Questions in Student Packet (Section C)

1. "man is a rational animal"--genus : animal; differentia: rational. Remind the students of the kind of definition this is; have them try to give genus-differentia definitions for other terms also. The question here is why does rational differentiate man from other animals? Clearly it wouldn't do to define man as a running animal. The traditional expression here is that this would be too "broad" a definition (it doesn't exclude horses et. al). Could one define man as an animal which makes bets?
2. The state is prior to the individual in the sense that man is not self-sufficient; later Aristotle insists that the purpose of the state is to provide the individual (philosopher) with the leisure of pursuing wisdom. Thus, the state is prior in terms of the securing of the individual's life and purpose.

C. Suggestions Concerning Student Packet (Section D)

2a. This question points out that Aristotle "finds out" by looking at the language--seeing first "what is meant by what we call a citizen."

2b. This is a difficult question. If a man is born to citizenship in a state, he is thus a product of that state in terms of education, loyalty, etc. Aristotle is simply reminding us here of the natural allegiance, the natural relation, which exists between the citizen and the state of which he is a citizen. A citizen must be defined, first, with regard to the form of state to which he owes allegiance, but a citizen is also a man. A man cannot be so "relatively" defined. So a man must be defined in terms of his "essential" nature--without regard to something else. The "essential" nature of a citizen is relative to the form of the constitution, but the "essential" nature of a man is in no way relative, but is rather determined by the "form" or "purpose" of a man himself. Why? This may be made clear by looking at the difference in the two cases. Is it possible that one can, as a citizen, owe allegiance to a state, but also find in this allegiance a conflict between what the state demands and his "purpose" as a man: his "form"--his allegiance, as it were, to being a man? (Here "purpose" or "form" seems to mean moral obligation.) One can think of cases in which one's duty as a man takes precedence over one's duty as a citizen of a particular country: the distinction and choice which faced many men in Nazi Germany in World War II. The distinction between duty as a citizen and duty as a man is not a simple distinction, and some have refused to admit it. The issue is whether there is a moral-backbone to the law, an allegiance higher than that to the arbitrary rule of the Prince or the commonwealth.

The remaining sections on Aristotle (as indeed on all the other thinkers in this unit as well) are to be worked out in the same manner. You need no special information to deal with those. You should just read carefully, trying to discern what answer the question requires. You may find that students' suggestions and attempts to give answers will provide you (often in a negative way) with a key to the issue. The "method" of teaching has, in fact, provided the teacher with a method of learning. The best way to teach students is to learn from them. Get them to teach--or at least to try to teach you. But then again, there is a time to bend and a time not to bend.

IV. Cicero:

A. Questions on Cicero's Definition of Law:

Question 1: Students should be asked to play with the phrase "right reason in agreement with nature." Does Cicero mean some kind of disembodied power-to-think? Does he mean that "law" is equal to "thinking sensibly" and that all men when they think sensibly "make up laws"? Or that men when they think sensibly "think laws," and that only when they are thinking laws do they think sensibly? What does Nature say that right reason might agree with it? What is nature? How does it talk? Have the students work over these phrases to hear their queerness and to try to be clear about what the phrases "true law," "right reason," "agreement," and "nature" must mean if they are to mean anything at all.

Question 2: Some thinkers have suggested that what Cicero means by "natural law" is conscience. Try going through the passage substituting "conscience" in the appropriate places:

> Conscience is not a product of human thought, nor is it made up by a legislature, but it is something eternal which rules the whole universe by its wisdom in command and prohibition. True law is the righteous commandment which comes from the natural voice of conscience. Conscience says the same thing always--to every man in every time. It summons to duty by its prohibitions. Law discriminates between things just and unjust, made in agreement with that primal and most ancient of things, Conscience.

Does this make sense of the passage? You might begin by asking whether conscience is "something eternal which rules the whole universe by its commands and prohibitions?"--getting students to hear the queerness of this remark. Does the original passage or the paraphrased passage mean anything at all? Or is Cicero "giving substance to a substantive" by personifying the word Law in all of its usages (cf. Grade 8, Words and their Meanings--on the idea that the meanings of a word bear family resemblances to one another and on the idea that a words meaning is not something for which it stands).

e. Question 3: Have students work with the difference between Aristotle's construction where "law" is somebody's reasonableness--perhaps the judge's--and is designed to preserve somebody's reasonableness--perhaps the citizen's and Cicero's where law is "eternal right reason." What has made the juice go out of Aristotle's conception?

B. Questions on the Dream of Scipio

1. The Dream of Scipio seems to suggest that natural law is the harmonious operation of scientific law in controlling the planets; it also seems to promise that people who "do the right thing" are--in some mysterious way--acting in harmony with this law and promise an eternal home which let's them live near the harmony. One may ask whether Cicero knows this on "faith" or on the basis of some kind of investigation.

#7 Again what has happened to the conception of "contemplation" in Cicero? It does not seem to mean thinking and research here. Perhaps the word "contemplation" has lost its juice in the same way that the word "reason" has. Moreover, students may ask whether "contemplation of what is beyond" means here any more than sacrificing yourself for your country in order to gain eternal peace rather than going out on the town. The crucial question may be, "What does Aristotle ask that one contemplate; and what, Cicero?"

V. Augustine's City of God

Even professional philosophers get lost in this labyrinth. A good, brief, and easily readable work here is F. C. Copleston, Medieval Philosophy (New York: Harper Torchbooks, 1961, $1.35). In addition, a work worth consulting and having in the school is Ewart Lewis, Medieval Political Ideas (London: Rutledge & Keegan Paul, 1954). Particularly valuable is volume I. Questions on

Questions on Augustine

The shift in point of view is both essential and obvious. Aristotle's "defining of" a citizen, a man, a society, etc., was first an interest in cataloguing knowledge--it was a "scientific" interest--(though not only that, of course.) The predominant--indeed overwhelming--influence in the medieval period was that of Christianity. The Christian as Christian is not primarily interested in cataloguing knowledge. His interest in questions as to the nature of "man," "the-citizen," "the-state," are not motivated by "scientific" considerations. The Christian is first interested in man's soul, and the salvation of that soul. This over-riding concern is not excepted in those writers taken up in this section. Thus, Augustine is not concerned first with determining what we mean by "citizen" or what we call a citizen but with answering the question: What is a Christian?

1. This question is intended to bring out the change in the point of view mentioned above. Both Aristotle and Augustine agree that a common interest, the will to live together--i.e., a common agreement about what they want, and "what they love"--creates the obvious bond which unites a people. But note that Aristotle asserts that the end of the state is the good life; the state must provide a means to this end. Augustine would call the human search for such an "end" an effort to create the city of man; the desire for "the good life" in Aristotle's sense might well epitomize the motive of "self-love." What is the end of the state for Augustine then? It is to control the extreme viciousness of men. Since the end of man is to glorify God, the state cannot help man much toward securing self-sufficiency or toward securing anything else. What is required for answering the questions in this section is fairly clear: the students are required to make some extremely general contrasts, however, and the teacher should try to keep

their attention directed always on a particular case, a particular example, in their discussions.

VI. John of Salisbury's Policraticus

John of Salisbury's name has been closely associated with the political philosophy of the Chartres school, a school which found the idea of "Nature as an organism" animated by the "world-soul" in Plato's Timaeus, but Salisbury's "organic theory" of political philosophy, of society as like a body, was Christian as well as Greek in conception. Though John of Salisbury's book, the Policraticus, makes use of the Roman jurists, his spirit is essentially with St. Augustine—particularly the St. Augustine of The City of God—who was also a student of Plato. John did not believe, as had sometimes been suggested, that the power of the Prince resides in a pact with the poeple. As he conceives it, the power of the Prince must be referred to God, as must all power, and his immediate and continual responsibility in the use of this power is directly to God, a belief which has often been confused with later versions of a similar belief and called the belief in the "divine right of Kings." John had no such belief in divine right. What John of Salisbury is concerned with is, more exactly, the divine responsibility of Kingship. There is a great difference between the two, as you may want to show the students in some detail, and it wil be helpful in this instance to compare the "arguments" of Louis XIV's apologist, Bishop Bessuet, with those of Salisbury. They employ essentially the same idea—the direct relation of divine and earthly rule—for nearly opposite purposes, the one to declare responsibility, the other to absolve from responsibility. As the student reads, it will occur to him that one can, indeed, question the whole notion of the "divine responsibility of kings" at the outset. But it should be made clear that this is not the question with which Salisbury is concerned; that is, Salisbury is concerned to justify "divine responsibility" only in the sense that it may have stood in need of a clarification. He does not raise a question about the rightness of "divine responsibility" since that is an article of faith with him—that God had made kings responsible to him for a great deal more than ordinary men are responsible for. That Salisbury does not call into question the principle of the "divine responsibility of the prince betrays the political point of view of his age. It reflects the "world view" of the time and is based on the analogies provided by that view.

The most important aspect of John's thought which we have included in this unit is his insistence that, whatever the source of invested power may be, the Prince is not "above" but "subject to" the law; the analogy is drawn from pictures of space and ladders:

God
Natural Law
The Prince
Positive Law
The People

The "law" to which the Prince is subject is that "natural law" which we met in Cicero, a "natural law" which the prince reads by examining what men are and what God would have them be. He then enacts positive laws which take these two factors into account. A tyrant is the "Prince" who enacts positive (arbitrary) law which is not compatible with natural law—not in the spirit of natural justice; he does not look at what men are and what God would have them be in framing laws, he looks only to his own selfinterest, and so he does not serve his group's common interests—only his own. John may thus be regarded as a thinker who adapts the concept of "natural law" to the Christian tradition, who further modifies and transforms an essentially moral conception of the laws which govern the lives of men.

In the material on Policraticus only one chapter is given. Once the student has read the whole carefully, analysis should proceed line by line.

1. You should now see from the above what consititutes tyranny. The key word is "law"—natural law. The "negative" definition simply employs the definition given: For "prince" substitute "tyrant" and convert each remark to its complement (opposite). For example "a tyrant ("the former") does not obey the law, does not rule the people by its dictates, accounts himself more than their servant."
2. This is natural law. ---Try discussion here.
3. God.—Work with discussion again.
4. The idea of reading which we proposed at the beginning of the packet (see Introduction) will be helpful here; in this case we will be taking John's "theorizing" as a set of recommendations or a set of instructions which one is to follow and trying to make sense of them as specific instructions: "make sense of. . .", "suppose we were to follow. . .", "what kind of men would this make us?", "can these ideals be followed at all?" Can you follow these ideals?" etc. One question to get straight is the question of what kind of guide Nature is, the sense in which "Nature" can be spoken of as a guide, a question which should lead to an understanding of John's conception of Nature: what is natural, etc. Nature as guide in Salisbury is not the raw emotions "natural" to men, but those rational aspects in nature discovered and refined by thought. What are these?

5b. This question may be troublesome. The student should notice that this is a curious, and odd remark: "It is impossible that the Prince be unjust." This remark may serve as a way of getting at John's methodology. The question may be put thus: what kind of "impossibility" is this? Can't a prince cheat? What about King John? He cheated, didn't he? John contends that the Prince's will cannot possibly be found opposed to justice. It might first seem that he claims to know all Princes very well indeed to have this kind of confidence, to have such extreme assurance of their just nature. But then John doesn't mention the Prince's name. He is not even talking about any particular prince at all. Does he think then that just any prince will naturally come by these qualities? One point is that Salisbury is speaking here of what is traditionally called a "ideal" prince. But this idea should be brought out only after the student has wrestled with Salisbury's thought. And does he mean that a man who cheats no longer bears the name of Prince? In man's eyes? In God's eyes?

To get at Salisbury's thought, we might ask, "Why is it impossible for the Prince's will to be unjust?" Are princes always so honest? Are they above cheating at cards? Watch the prince closely. Spy on him when he plays solitaire; keep a close watch when he keeps the score while playing golf. If he doesn't cheat then, would you be justified in saying: "The Prince is the most just of men—it is impossible for the Prince to be unjust, or to cheat, or to lie? ... This strategy is intended to suggest that one must look at John's remarks in a certain way if they are to make sense at all. If we knew that John knew a particular prince intimately and knew that he knew him to be the best of men, could we understand his remark: "It is impossible that the prince's will be opposed to justice"? We might ask him, "Do you mean to say that this prince you speak of is God himself? That all princes are gods? Or do you mean that so far the prince has always been just, and that it is *extremely improbable* that he should ever be unjust? When you say it is impossible that he could be unjust, do you merely mean to *express your complete faith* in the justness of the prince?"

You (and so the student) should come to see that this is not what John is saying at all. He is *not* speaking of an actual (empirical) *impossibility*. If he were to say "It is impossible that the prince will be unjust," meaning by this that the prince is so honest that he can't cheat, we should simply have to remind him that this is an improper way of speaking; that we *cannot* say that it is *impossible* for he may cheat tomorrow--the *possibility cannot be excluded*. Hence, if we take the phrase in this sense, the most we can mean by it is that the Prince has not cheated yet, that he has not been unjust yet; and with this we might also express our faith in his continued virtue.

If Salisbury means to speak of an empirical impossibility, he is either wrong, or he is misusing the language (whichever way you choose to express the difficulty). In fact Salisbury is guilty of neither charge. First of all, the impossibility *is a logical one*: *It is impossible for the prince's will to be unjust because no one whose will is unjust is a prince.* The proposition is tautological, a logical- definitional "truth" if you like. John means to say "We *call* a ruler a prince only when his will is just." This should focus the student's attention again on the distinction between a prince and a tyrant. (You will see something of this later with Machiavelli). But this only clears our way to get at Salisbury's point: since the prince is the subordinate hand of God, the prince cannot be unjust because God cannot be unjust.

Another essential passage is: "For *all* power is from the Lord God, and has been with Him always, and is from everlasting. The Power which the Prince has is therefore from God, for the power of God is never lost, nor severed from Him, but he merely exercises it through a subordinate hand, making all things teach His mercy or justice."

Once the students have read Machiavelli, you may want to point out to them how the same line of thought can be put to such a very different use. Machiavelli *also* reveals (*the effect*) that "It is impossible that the prince' will will be found opposed to justice." One must approach this assertion by again asking the question: "Why is it impossible for the Prince to be unjust?" Is he that much better a man than the rest of us, who always seem to fall so pathetically short of perfection? In Machiavelli's case again, the "impossibility" is of a logical type. In the end Machiavelli's claim comes to this: "The prince cannot be unjust, for whatever he does is the law." According to this line of thought, "justice" is whatever is the law (there can be no justice until there is law; law creates the notion of justice). And the Prince is law, or, put another way, if the Prince rules by power alone, what sense is there in talking about goodness or justice? And so, since the prince is law, it is impossible that the prince be unjust, for it is impossible--logically impossible for the prince not to do whatever it is he does. The logical character of the impossibility and the tautological character of the claim come to the surface here. In a word, whatever the prince does, that is justice. "Justice" means "what the prince does, commands."

In the section on Machiavelli it should become clear to the students just how superficial is the similarity between the medieval views of "divine responsibility of Kings" and the emergence in the Renaissance of the absolutely sovereign Prince.

There is this difference that you should keep in mind. The medieval view of the world was that everything that happened was in some (perhaps mysterious) way in accordance with the divine plan for man. "For all power is from the Lord God" comes to this: all that happens is in accordance with the will of God. Thus, power is justified by God's will and the responsibility for power, the responsibility for the holder of that power, is with God.

On the other hand, Machiavelli points to "the Prince" as responsible only to himself. His task is not to use the power in accordance with natural law, not even necessarily to use it wisely. Rather, his task is to use his power absolutely, to use it so that his continued absolute sovereignty is assured.

Looking at the differences in this way, one would scarcely notice the similarities even though they are there. There seems to be, indeed, a great difference in theory between what Salisbury is talking about and what Machiavelli is talking about. Perhaps there is, but the difference is created in a very simple way. One might say that Machiavelli simply took the doctrine of John and systematically crossed out references to "God," "divine," etc. in typifying the Prince.

For example:

John: "The absolute justice of the actions of the prince is ensured, because he is the prince--and thus he is the instrument of God's plan."

Machiavelli: To set forth a Machiavellian view, simply cross out the last clause.

There is, of course, much more to the difference than this, but this technique of "crossing out references to God" to make John's doctrine read like Machiavelli's may help to show the students that there are certain features common to quite different political theories. What creates the differences in political thought are not so much differences in theories of how government is run as differences in the basic ideals, the basic moral precepts, which the individual brings to his enquiry. This notion is, again, central to the issues discussed in this unit; it is, as you will recall, related to what Golding alluded to in his remark on "theme."

The students must not get too embroiled in generalities of discussion. The teacher should constantly try and get them to work with the text, with examples, with particular expressions and cases. In this section they should look closely at the analogies between the "princely" and the "divine Majesty," between the head and the body and a prince and his state, between "ladders" or "hierarchies" and the organization of a state. They should discuss Salisbury's conception of "nature as a guide to life" in connection particularly with his segment on "natural law." Finally, it will be well to remind the students that John of Salisbury's conception of the Prince as a man who seeks to be loved and of the subject as a person who loves the Prince is closely tied to Augustine's conception of societies as made up of people who love the same thing--tied together by a bond of love.

The section of the work on natural law may well be the most difficult of all, but you should not lose patience. In this section on Salisbury, the technique of analysis has been stressed "self-consciously." If the sort of question-and-discussion procedure used here is mastered, the rest will be much easier--both for you and the student.

VII. Machiavelli's Prince and Discourses

A good deal of sense and nonsense has been written about The Prince and Machiavelli. It is not the purpose of this unit to add to the scholarship but to try and clarify Machiavelli's language. The questions accompanying each chapter of the book are always intended to help the student to look closely at what is being said, to gain some insight into what is being said. Occasionally tangential questions have been introduced in order to get the students to "relate" the material. In many instances the teacher's task may be to direct the student's attention back to Machiavelli--given the questions asked. However, the work itself is not sacred and, if a discussion of contemporary problems or topics illuminates Machiavelli's work, teacher and students should pursue this direction.

Questions on Machiavelli: #3 (1 and 2 need no discussion):

In explaining disorder, Machiavelli first seems to be citing "facts," and here his information seems to have been gathered from a survey or sampling of what has happened in the surrounding warring states with regard to conquest and occupation by princes. After relating what might be called a set of statistics, he seems to want to give an explanation--to set forth the reasons, the causes which have made for difficulty and failure for Italy as well as for success for her and her city states. Now the explanation seems to pretend to tell us what are the "causes" of success and failure. His explanations speak of the way in which the mind makes people do things as if Machiavelli knew the certain, inevitable, psychological causes of certain political effects: "Men change masters willingly, hoping to better themselves; and this belief makes them. . ." Presumably it is a matter of fact that, in the conquest of "New Monarchies," trouble has always come up centering around the occupation of one area, the area of Belief, the inner feelings. Why is Machiavelli interested in this area? Well, if his handbook is to be useful to all enterprising princes, it must describe the true causes which make for difficulty in occupying an area so that the prince may eliminate the difficulty and live in peace and conquest. Thus, Machiavelli's work might well be called "the anatomy of conquest." Many kinds of causes of revolt and disorder might have been given--the peculiar form of government, the economy, the geography of a given principality--but Machiavelli's "causes" have to do with "human nature" in a neutral sense. Machiavelli would probably agree with Golding's contention that the "defects of a society may be traced back to defects in human nature." And he would use the word "natural" in a sense different than the earlier theorists who speak of "natural law," and so forth. He does not use natural to mean "imbedded by God in human creation" but to mean a "spontaneous part of human behavior." Machiavelli is not just "describing" occurrences: he is explaining those occurrences in "psychological" terms, and a basic premise of his "psychological" explanation of human behavior is that man is primarily an intelligent animal motivated by impulses in a predictable pattern. A basic premise of most "religious explanations of human behavior is that man, is capable of obedience to certain commandments, can freely observe certain "moral norms," and can make freely a commitment to one or another way of life. Why does Machiavelli resort to a "psychological" explanation? If later one sees Machiavelli as recommending a break with medieval tradition, then the reason for the psychological approach now may be that already, in his explanation of what leads men to act, he is rejecting the religious account altogether. But, if one sees him as warning against such a break, then perhaps the use of psychology comes in as ironical. How?

The intention here is to remind you of the different language involved in the "psychological" and the "religious" point of view with respect to what leads man to move or "behave." Many of Machiavelli's insights about "human behavior" are remarkably astute; but whether these "insights" fully account for the "events"--are to be regarded as causes as the treatise claims--is another matter.

Machiavelli likes to dramatize the issues confronting the Prince: "For it must be noted that men must either be caressed or else annihilated--" (p. 37). He destroys his opponents by denying the middle ground, an old rhetorical trick; his point is that if one is to succeed as a tyrant--in the Greek sense of the word--he must know his friends and his enemies. One might, of course, suggest several other ways of looking at this, but the "either/or" character of the claim should be brought out. Is there no other alternative open to the Prince who wishes to succeed? What? Why does Machiavelli want to force the dichotomy as wide open as possible?

In connection with question #6, you might have the students consult Plato's Republic (Bk. IX). There Plato discusses the question of whether or not the tyrant may be happy at all, reasoning that the tyrannical man has the soul of a slave in that the best (rational) elements in him are enslaved, in that his soul is poor because insatiable--given over to the "appetites" (the lust for power)--in that the fear and hatred he has created in his subjects dominate his imagination. Plato's tyrant, since he cannot rule even his own passions, can only be the worst possible ruler of other men, but Machiavelli sees the ruler in a different slant of light. And students may wish to work with this question after looking at Plato: "Would you say that Machiavelli's prince is a leader at all? A tyrant may hold dominion over all--but that doesn't make him a leader" Well, does it? Plato, further, says of the tyrant that he must pass his life fighting with other men, and Machiavelli would certainly agree. But would Machiavelli be likely to agree with Plato as to what "happiness" is? Is it happiness to spend one's life fighting? Would the two agree as to what the "end" of any activity is or should be?

In #7, Machiavelli's example of "princely virtue" is Casare Borgia. The best way of handling the comments here is to examine the language closely. Has he distorted, changed or extended the use of what we ordinarily mean by "virtue"? Did the word virtu mean something different in the Italian Renaissance?

#8ff. Machiavelli, in these next sections, wants to separate questions of political expediency, questions such as "Should this be done?", "Ought it be done?" from questions such as "Can it be done?", "Can I get it done?" What have we lost in the separation? Everything? Nothing? This question will introduce students to the thrust of modern political and moral philosophy.

It may help here to follow the line which was begun in treating John of Salisbury. Machiavelli rejects the divine responsibility of kings and ends up with another kind of all-powerful sovereign without the theoretical checks of tradition of "divine responsibility," the rules of right and wrong given by the God by whose grace the Prince ruled. John's Prince, insofar as he does not follow these rules, is a tyrant and worthy of death. But what is the check on Machiavelli's Prince? His rule is rule by "right" of power alone; "greatness" replaces "goodness"--or does it?

The final question with regard to The Prince has to do with its genre; is it, as Machiavelli said in a letter, a satire? Is it a description of an unhappy state into which a people fall when the ruler rules by power? Certainly John of Salisbury could distinguish between tyrants and princes, bad rulers and good rulers because he had a standard by which he could judge. But if Machiavelli's work is a satire, it too begins with a standard which it also seems to or does deny. Is Machiavelli describing a tyrant or is he advocating we do away with the distinction between tyrant and king, that we leave ourselves only the standard of greatness? Here we need a close analysis of tone, texture, irony and so forth.

VII. Shakespeare's Julius Caesar

The questions on Julius Caesar should lead to a close analysis of the text, but are generally different in kind from those with which the student has been dealing up to this point in the unit and need not necessarily be included in the notebook discussions. However, you may wish on your own to introduce questions of the kind with which we have been dealing up to this point; for instance, the students have some background which should enable them to discuss the character and actions of Caesar, Antony, Brutus, and Cassius, from several different conceptual frameworks or "languages." For example, the teacher might ask: "Which of the characters best exhibits a mastery of Machiavellian psychology?" "Using Augustine's criteria (and language) what do each of these characters 'love'?" "Is there anything in the character of each of these men which would suggest, an attitude toward the law?" "Aristotle classed states as to whether they existed for the sake of the rulers or for the sake of the ruled: where would each of these men stand with regard to this?"

You may want the students to consider the various conflicts which arise in Julius Caesar---the degree to which they manifest the problems which we have considered: the conflict "within" Brutus, the conflict between the people and the nobility, and conflict between army and army, the conflict between Brutus and Cassius for control of the conspiracy. But the emphasis in this case should remain with our interest in political and moral conflicts--with the issues of leadership, the ideals of group morality, and similar concerns. The student will be helped in his reading of Shakespearean tragedy, if you can make him aware of certain matters which are important to an understanding of his conception of the "wheel of fortune." To the Elizabethans nothing was surer than that time was fickle, that temporal life was never fixed but was always changing as the baby grew to manhood, and his vigor faded as he became an old man, as the young noble rose to the position of favorite and was broken by disgrace. The function of fortune in reminding man of the ephemeral nature of his temporal goods is described in the 8th grade unit on "The Journey Novel Hero." Typically, the "wheel of fortune" tragedy begins with the protagonist in law or middle estate, traces his rise to the pinnacle of temporal prosperity, and then displays his fall into adversity and despair because he has lost the good which he most loves. Suffering in a wheel of fortune tragedy is supposed to be providential--reminding one that the loss which creates suffering is a loss of goods which beside the true good of God and virtue do not amount to much and that despair in the face of loss is to turn one's back on the only true good which one can know. Dr. Faustus is a perfect wheel-of-fortune-tragedy (cf. Tragedy, Grade 10). One may regard Caesar and Brutus and Cassius as "fools of fortune" struck down by the turning of the prosperity, but one has no opportunity to study Caesar's response to adversity; Shakespeare focuses on the responses of Brutus and Cassius. The idea of the foolishness of seeking fortune's favor also had a role in defining for his age what a leader ought to be: A leader is a man granted rulership by God; he is not a man who aspires to rule, who wins it by civil war, by policy, by cleverness, or by any merely political device. Second, in looking at the "leader and the group" in Julius Caesar it may be well to look at the narrative statement of the head body image which Shakespeare puts in his Coriolanus and which seems almost to echo John of Salisbury:

The citizens are hungry and about to riot and raise civil war against the senate for food:

SECOND CITIZEN. Worthy Menenius Agrippa, one that hath always lov'd the people.

FIRST CITIZEN. He's one honest enough. Would all the rest were so!

MENENIUS. What work's, my countrymen, in hand? Where go you with bats and clubs? What matter? Speak, I pray you.

FIRST CITIZEN. Our business is not unknown to the senate; they have had inkling this fortnight what we intend to do, which now we'll show 'em in deeds. They say poor suitors have strong breaths; they shall know we have strong arms too.

MENENIUS. Why, masters, my good friends, mine honest neighbours, will you undo yourselves?

FIRST CITIZEN. We cannot, sir; we are undone already.

MENENIUS. I tell you, friends, most charitable care
Have the patricians of you. For your wants,
Your suffering in this dearth, you may as well
Strike at the heaven with your staves as lift them
Against the Roman state; whose course will on
The way it takes, cracking ten thousand curbs
Of more strong link asunder than can ever
Appear in your impediment. For the dearth,
The gods, not the patricians, make it, and
Your knees to them, not arms, must help. Alack!
You are transported by calamity
Thither where more attends you; and you slander
The helms o' the state, who care for you like fathers,
When you curse them as enemies.

FIRST CITIZEN. Care for us! True, indeed! They ne'er cared for us yet: suffer us to famish, and their storehouses cramm'd with grain; make edicts for usury, to support usurers; repeal daily any wholesome act established against the rich, and provide more piercing statutes daily to chain up and restrain the poor. If the wars eat us not up, they will; and there's all the love they bear us.

MENENIUS. Either you must
Confess yourselves wondrous malicious,
Or be accus'd of folly. I shall tell you
A pretty tale: it may be you have heard it;
But, since it serves my purpose, I will venture
To stale 't a little more.

FIRST CITIZEN. Well I'll hear it, sir; yet you must not think to fob off your disgrace with a tale; but, an't please you, deliver.

MENENIUS. There was a time when all the body's members
Rebell'd against the belly; thus accus'd it:
That only like a gulf it did remain
I' th' midst o' th' body, idle and unactive,
Still cupboarding the viand, never bearing
Like labour with the rest, where th' other instruments
Did see and hear, devise, instruct, walk, feel,
And, mutually participate, did minister

Unto the appetite and affection common
Of the whole body. The belly answer'd.

FIRST CITIZEN. Well, sir, what answer made the belly?

MENENIUS. Sir, I shall tell you. With a kind of smile,
Which ne'er came from the lungs, but even thus—
For look you, I may make the belly smile
As well as speak—it tauntingly replied
To th' discontented members, the mutinous parts
That envied his receipt; even so most fitly
As you malign our senators for that
They are not such as you.

FIRST CITIZEN. Your belly's answer? What!
The kingly crowned head, the vigilant eye,
The counsellor heart, the armour soldier,
Our steed the leg, the tongue our trumpeter,
With other muniments and petty helps
In this our fabric, if that they—

MENENIUS. What then?—
For me, this fellow speaks! What then? What then?

FIRST CITIZEN. Should by the cormorant belly be restrain'd,
Who is the sink o' the body,--

MENENIUS. Well, what then?

FIRST CITIZEN. The former agents, if they did complain,
What could the belly answer?

MENENIUS. I will tell you;
If you'll bestow a small (of what you have little)
Patience awhile, you'st hear the belly's answer.

FIRST CITIZEN. Y'are long about it.

MENENIUS. Note me this, good friend;
Your most grave belly was deliberate,
Not rash like his accusers, and thus no answer'd:
'True is it, my incorporate friends, quoth he,
'That I receive the general food at first
Which you do live upon; and fit it is,
Because I am the store-house and the shop
Of the whole body. But, if you do remember,
I send it through the rivers of your blood,
Even to the court, the heart, to the seat o' the brain;
And, through the cranks and offices of man,
The strongest nerves and small inferior veins
From me receive the natural competency
Whereby they live. And though that all at once,
You, my good friends,' ---This says the belly mark me,--

FIRST CITIZEN. Ay, sir, well, well.

MENENIUS. 'Though all at once cannot
See what I do deliver out to each,
Yet I can make my audit up, that all
From me do back receive the flour of all,
And leave me but the bran.' What say you to't?

FIRST CITIZEN. It was an answer: How apply you this?

MENENIUS. The senators of Rome are this good belly,
And you the mutinous members; for, examine
Their counsels and their cares, digest things rightly
Touching the weal o' th' common, you shall find
No public benefit which you receive
But it proceeds or come from them to you,
And no way from yourselves. What do you think,
You, the great toe of this assembly?

FIRST CITIZEN. I the great toe? What the great toe?

MENENIUS. For that, being one o' the lowest, basest, poorest,
Of this most wise rebellion, thous goest foremost,
Thou rascal, that art worst in blood to run,
Lead'st first to win some vantage.
But make you ready your stiff bats and clubs.
Rome and her rats are at the point of battle;
The one side must have bale.

The students may enjoy trying to apply Menenius' fable to the conspirators in Rome--identifying them with various mutinous parts. They should also lay against "this organic" view of the state and the leader the views of the characters within the play as to what a leader should be and what the group--to see to what degree each sets forth a vision of leadership like Aristotle's, John of Salisbury's, Machiavelli's.

The discussion questions focus, for the most part, on the language that Shakespeare puts in his characters' mouths. The purpose of these questions is to lead the students to see how Shakespeare uses the language of political theorists, how he raises and perhaps answers political questions in a fictional work.

#1 The students' examination of Flavius' speech should lead them to identify Flavius with a particular attitude toward the Roman Republic and Caesar. The crucial word in this speech is "fearfulness." Once the students have determined its meaning, they should then have a means of associating Flavius with a particular political view. Notice that the metaphor of the bird depicts Caesar removing himself from the "ordinary pitch." Caesar as head may no longer have regard for the body. The students probably need to be reminded that in a dramatic or fictional work, characters may say one thing but do another.

#2 Cassius' use of the word "love" requires that the students ascertain its meaning. They must pay attention to the context in which Cassius and Brutus are speaking and ask themselves the question, "What meaning of 'love' makes sense here?"

Do not let them escape the question by saying that it is love for one's brother. Does Cassius try to remind Brutus that he ought to be loved as an individual? That he as a human being merits charity? Is he telling Brutus he isn't a Good Samaritan? Or is he using the word here in a political sense as John of Salisbury does when he says that the commonwealth is held together by the bond of love? The teacher should not allow the students to get off with a definition of love, but should require them to think of analagous situations in which the word might be used in the same or different ways. In this case, it might be well if the students are asked if Cassius really desires Brutus' love or if he is appealing to Brutus' moral sense for devious purposes.

#3 In Brutus' answer to Cassius, the "general good" means the "common interest" of Aristotle, of Cicero, of John of Salisbury. Brutus clearly identifies himself as one committed to the ideal state and to its purpose, one who transcends private aims. His declaration that he will pursue honor even at the cost of death requires the students to ascertain the meaning of honor in order to judge Brutus' character. Does honor here mean what it means in the sentence, "I must defend my honor against that man's insults; therefore I will fight a duel with him."? Brutus claims he "loves" honor. How can one love honor? Does that statement make sense? Is this not the same as saying,"I love the idea that 2 + 2 = 4"? Why not? Both are abstractions, aren't they? Why does "I love honor" make sense but not "I love the idea that 2 + 2 = 4"? What is the difference between these two "abstractions"? Some such questioning might lead the students to understand how "honor" works in this passage. Brutus evidently conceives of the furthering of the "general good" as a moral imperative and the obeying of the imperative as honorable.

#4 Cassius' reply to Brutus has its premise in the lines:

> I cannot tell what you and other men
> Think of this life; but for my single self,
> I had as lief not be as live to be
> In awe of such a thing as I myself.

Cassius asserts that he must have something more than a mere man as his leader, and Caesar is a mere man--so mere a man that Cassius had to rescue him when swimming and so mere a man that he has epileptic fits. Cassius, of course, fails to distinguish, as does Brutus, between Caesar as a private man and a public official. His inability to swim as well as Cassius has nothing to do with his being a good ruler; neither do his epileptic fits. What does Cassius regard as requisite for a good leader? This question might supplement the questions in the student packet.

#6 This question may be difficult. Brutus will stand on his reasons, not hocus-pocus. The students ought to explain in detail and judge Brutus' motives for not swearing an oath. A paraphrase might go like this: "if our faces do not reflect our honesty, if the suffering of our souls and the time's abuse do not necessitate our action, then an oath won't do it either." His cause will stand or fall on its virtue alone. Brutus further reveals this attitude when he argues against the inclusion of Cicero. He is unconcerned about public relations and besides Cicero would be unlikely to cooperate.

#7 In this line Caesar may reveal himself as a tyrant. Has he given over the general interest and substituted his private interest? Does he have the public good at heart—his wife, the people.

#8 This question asks the students to apply to a literary text the methodology used in the reading of the other materials. The questions about Antony and Octavius are designed to get them started.

#9 During the reign of Elizabeth, the loyalist propagandists wrote several tracts most of them inspired by the Northern Rebellion and the various plots to depose Elizabeth, in which they argued that the subject owes absolute obedience to the throne; the rebels, on the other hand, argued that their obedience need not be absolute. This question is central to this unit and is raised by Shakespeare's play, in the particularized form, "Should Brutus join the conspiracy against Caesar?" Brutus clearly seeks to preserve the Roman Republic; he thinks he is serving the common good, and Caesar is not. Brutus appears to be right—but is he? Given the Elizabethan preference for monarchy and their belief that it is better than any other form of government, one might suspect that Shakespeare finds Brutus at fault. Is a republic unworkable in the world of Shakespeare's play? Do the speeches of the other characters suggest that they serve private, or public interests? Given these characters, can a republic work or will anarchy prevail? A monarchy or some thing like a monarchy will be the result of Octavius' victory. Is the moral then that Brutus, in wishing to preserve the Roman Republic, sacrifices order and the general interest? It may be that a republic can serve the general interest only when men are sufficiently high-minded. Otherwise, must one have a king or emperor—even a bad one?

IX. Locke's Second Treatise on Civil Government

The key to Locke's view is his understanding of the natural condition of man; that is, he takes the idea of the "law of nature" to mean something a little different from what Cicero or Augustine and John of Salisbury meant. It is not just "the law of conscience" or "what dictates that a man be allowed to act like a man and use the capacities which God created in him," The law of nature comes to refer—to a degree it had always so referred—to a time when men are imagined as having no laws, no government, no real leaders. And Locke wants to imagine that men were all right then. They decided that they needed governments and laws when they were all right without them.

X. Jefferson's Collected Writings:

These questions in this section are designed to evoke thorough understanding and careful analysis. The student is expected to give a line-by-line account, to work out in detail the sense of some of the key expressions in the "Declaration", for example, "self evident truth." The course of discussion in the student packet comes essentially to mean this: "The human being with a moral sense and with a sense of humanity can possibly call into question the alleged fact that all men have been created with equal rights." The point of the "declaration" of self-evident truths would appear to be rhetorical--as if one were to say "a man must first acknowledge the natural right to freedom of all men before he can hope to understand us, what we are, what we stand for; and if a man does not acknowledge this, then there is no point in further discussion." Such an acknowledgement is the minimum, the sine qua non of moral and social philosophy; perhaps more, such an acknowledgment is merely the expression of one's humanity.

Again notice how conceptions of God, nature, nature's law come into both the Declaration and into Jefferson's letters. Watch Jefferson's relationship to Locke, Machiavelli, Cicero, and Aristotle. Jefferson stresses the universality of human rights, the natural (and god-given) rights of the individual. These are not rights given to man by government; the role of the leader is to protect these rights of the individual, not to create them.

X. Kennedy's Profiles in Courage

At the beginning of this section you may again wish to cite Golding's remark . . "the shape of a society must depend on the ethical nature of the individual . . ." The political philosophy of Kennedy is, of course rooted in the constitution of the United States. He too holds those truths to be self-evident. Kennedy's interest is not to extend the ideas we have discussed; he is not interested in further elaborating or developing philosophical theory. Rather, he is concerned to draw out just what is involved in the political philosophy we profess as Americans. Kennedy is doing what we have in fact been trying to get the students to do. He is asking the question in effect: "How does an individual live in accordance with those ideals he professes?" Recall that in trying to understand the philosophy of any of these thinkers, the student himself should ask the question, "Suppose I were to follow these ideals--what sort of man would I become, what sort of human being would these ideals make me?"

"There is no question that we regard it as a virtue that a man live according to his convictions. There is no question that living according to his convictions often requires courage of a man." Kennedy has tried to show just what this means--just what is involved in such an apparently simple moral aphorism. In short, Kennedy is trying to understand courage in the context of constitutional government---adherence to the ideals of Jefferson, Locke, etc. This may seem odd. Everyone knows what courage is. "Courage is the overcoming of fear." We can all give quick definitions, or even slow definitions. But that is part of the problem. "Courage", just as many other words such as perhaps "spirit" "truth," etc., has lost nearly all its bite--yellowed with misuse, disuse, and overuse. The expression, "That took courage," may be pronounced with very much the same vigor as "That took ten minutes." In trying to survey certain acts of "political courage," Kennedy is in a sense trying to put some life back into that expression. Just what is involved in a personal commitment to one's convictions? What do we mean when we say he had the courage to follow the dictates of his conscience? Kennedy draws out both the depth and the complexity of "taking a stand" on what one believes to be right. The questions are designed to give the student this kind of emphasis in his thinking about and discussion of Kennedy's work.

XI. Guareschi's Little World of Don Camillo

The Little World of Don Camillo is the "lightest" of work used in this unit, but it is worthy of a careful analysis. There are many things you may want to work with here, but for purposes of continuity, the work should be "balanced" against the first work read, Lord of the Flies.

③

A CURRICULUM FOR ENGLISH

Teacher Packet

MAN AND MORAL LAW:
SIN AND LONELINESS

Grade 10

Experimental Materials
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Core Texts:

1. Thomas Hardy, The Return of the Native (New York: New American Library, Signet Paperback CD7), 50¢

   OR

   Leo Tolstoy, Resurrection (New York: New American Library, Signet Paperback CT63), 75¢
2. John Steinbeck, The Pearl (New York: Bantam Books, Inc., JP1), 40¢
3. C.L. Cline (ed.), The Rinehart Book of Short Stories (New York: Holt, Rinehart & Winston, Inc.), 75¢
4. Richard Wilbur (ed.), Coleridge (New York: Dell Publishing Co., Inc., Laurel Poetry Series, 1324), 35¢

The Selections:

Six works have been selected for study in this unit. Together they present three possible ways of looking at the theme of "Sin and Loneliness." The first is the psychological way having to do principally with man's relationship to man. Here frustration plays a major role. Sin is regarded as being like a mistake or an error in judgment or in behavior. Another is a religious way having to do principally with man's relationship with God or his relationship with man seen in the light of his relationship with God; still another is a strictly "Christian" concept in which the Christian concept of God operates. John Steinbeck's The Pearl, Joseph Conrad's "The Lagoon," and Thomas Hardy's The Return of the Native present psychological concepts. Nathaniel Hawthorne's "Young Goodman Brown" presents a religious view which uses some Christian symbols but reinterprets them in psychological terms. S.T. Coleridge's Rime of the Ancient Mariner offers another religious picture with traceable origins in the Judeo-Christian tradition, and Leo Tolstoy presents a certain slightly unorthodox Christian picture in Resurrection.

Tolstoy's Resurrection was chosen as an alternative to Hardy's The Return of the Native. The idea of sin is presented straightforwardly in the Tolstoy novel, and the story which embodies this idea more immediately captures young students' interest. Its concepts are also very clearly outlined. Thus Resurrection would serve well for study by both the quicker and the slower students alike. The Return of the Native, on the other hand, is somewhat obscure in its treatment of sin and loneliness, and the story which embodies these concepts moves rather slowly in places, especially at the beginning. This is not to judge the novel's merits but to say that it might be difficult for slower students on two counts. You may then wish to divide the class when you start on the novels.

I. Overview:

Besides the usual purpose in a literature course of acquainting the student with various styles, structures, and techniques of writing, the unit on "Sin and Loneliness" attempts to communicate to the student an understanding of the concepts from which the unit title is derived. This in itself implies several things of which the student should become aware. The first of these is that concepts of sin and loneliness have not only subjective but social aspects. The means that in discovering and exploring, for instance, the Christian concept of sin one is trying to get straight on what constitutes a sin (in the Christian sense). The purpose is not to urge someone to accept or reject Christianity but rather to help him to understand what accepting or rejecting Christianity is like. The second of these implications is that the student must understand that the gaining of such understanding requires an active not a passive approach. You will find in the Student Packet a note on this which it might be well to comment on here. The study of concepts requires imagination. This is not to say one must go about understanding concepts fancifully in a wizard of Oz-ish manner. "Imagination" in this context means that the student is trying to find out what it is like to do certain things, to be a certain way, to have certain attitudes; and that in his effort to find what these are like he will be called upon to put himself in the place of a character and ask, "What would I do in his place?" or in the place of the author and ask, "What would my intentions for this character be?" To answer these questions the student will need to call upon his own experience and upon his knowledge of literature and human experience to supply contexts analogous to those which he is trying to understand.

The third of these implications is that concepts such as those treated in this unit are easily confused and misunderstood. A student must, therefore, be thorough in his work. Even should a student never arrive at a clear understanding of the concepts he will have gained immeasurably if he has become aware of the difficulty involved in gaining such an understanding.

The fourth implication is that these concepts are important. Each of the authors saw a certain problem--a problem which he regarded much like a puzzle which he must then solve. The student must become aware of these problems before he can either answer the questions asked in this unit or understand the concepts. The working out of answers will overshadow in importance the answers themselves, answers which cannot, in fact, be right or wrong but which can, given the context of the work, be sense or nonsense.

With these implications in mind it might be well to make notes of the problems which are involved in studying these concepts. An author first of all has a problem which has captured his interest. In the case of Hardy, for instance, the author is concerned about man's place in the universe and man's relationship with man. The problem in question form would be, "How do people respond to others?" and "Why do people respond as they do?" This gives ample indication that Hardy is interested in a psychological problem and will arrive at a psychological concept. It is with this either explicitly or implicitly in mind that he constructs his work and presents his characters facing certain problems. With Clym in The Return of the Native, for instance, the problem is how to reconcile his relationship with Eustacia, his relationship with his mother, and his intentions to be a "back-country" teacher. This is where problems and confusions may arise: should Hardy at this point have thought that the problem which Clym faced was like the problem the Christian faces, then he would have somehow dramatized, at the novel's completion, a purportedly Christian concept of sin. What the author actually dramatizes are psychological concepts of guilt, error, response.

Before the works in this unit are discussed individually, more will be said about these problems--the problems with which the author is working, the problems he presents to his characters, and the problems in dealing with these concepts. Suffice it for now to say that the student must realize that the best of authors can be quite unwittingly led astray by false analogies and that much can be gained for the discovery of such false analogies. Basically, it will be suggested that a psychological problem is like those faced by Clym in The Return of the Native, and like that which, because of Hardy's interest in it, resulted in the novel itself. A religious problem will have to do with man's relationship to God or his relationship to man in the light of his relationship to God, and a Christian problem involves a Christian concept of God. The differences are made readily apparent by a comparison. Clym's fight is against forces which oppose his will whereas Nekhludov's fight in Resurrection is with himself. More will be said about this latter fight when Tolstoy is considered, but the point is that the problem which Nekhludov-as-Christian faces is himself, his own temptations to resist his decision to be a Christian; and the problem which Clym faces is others, those who oppose his will. When problems which are not alike (such as these) are thought to be alike, philosophical or semantic confusions arise. This, then, details something of the purpose of the unit and gives some idea as to the problems which stand in the way of the realization of that purpose.

II. Special Problems:

Certain problems arise in a study of the literature of this unit. There are the problems the authors work with, and those encountered in reading and in understanding these works.

Two problems in particular may be encountered in reading the literature. One stems from the fact that in all of the works except Resurrection (and most certainly in "The Lagoon," The Pearl, Rime of the Ancient Mariner, and The Return of the Native) there occurs a great deal of material dealing with nature. Following as close as it does to the unit Man's Picture of Nature, this unit might easily be seen as merely more of the same. Such is not the case, for the nature passages in this unit serve to give insight into characters, events, and lines of thought.

In Conrad and Steinbeck, nature serves as a mirror for the people, for their moods, and for the action of the story. For Coleridge, nature is integrally related to a spiritual problem, but it does not need to be "confronted." Only in Hardy's novel does nature require confrontation, and then it mostly serves either as a mirror of events and moods or as a means of presenting ideas and connecting various entities in the work. It might be well, therefore, to be on guard against considering this unit as merely an extension of a previous one.

Some difficulty in reading the material may arise from the presence of a definite touch of the mysterious, a touch found predominantly in the works of Coleridge and Hawthorne and to some degree in those of Conrad and Hardy. In all of these works this element of mystery serves to point up a certain mystery in life itself. Further, it serves a certain purpose in each work. In the tale of the mariner it figures in the use of the theme of imagination. With Hawthorne it serves to accentuate the allegory by undercutting a literal reading of the story. In the case of Conrad, the use of the mysterious ushers in the topic of Arsat's illusions; and with Hardy the use of mystery is simply part of the bizarre and accidental.

The tendency may be to see the concepts dealt with in this body of literature as being somehow mysterious themselves because of the mystery involved in their presentation. Although the concepts which stand at the center of this unit are difficult to understand, there is nothing inherently mysterious about concepts such as sin, loneliness, frustration, and guilt.

Parallel to the problems encountered in reading we may also consider the problems with which the author deals. The problem in Resurrection is the problem of a man's relationship with God and how he comes to see this relationship in the light of revelation. It involves Prince Nekhludov's fight with himself. In contrast, The Return of the Native deals with man's relationship with other men and how he comes to see this relationship in the light of his own and their behavior. It involves Clym Yeobright's fight with conflicting interests and pressures. The problem of Rime of the Ancient Mariner is also the problem of a man's relationship with God, here not seen specifically in the light of Christian revelation. The fight in this case is between two variant ways of looking at the world, the imaginative way and the intellectual way; between two unequal criteria of right and wrong, man's convenience and the state of the will. "Young Goodman Brown" presents the problem of man's relationship to man in the light of his relationship with God. The dispute concerns three different views of the world: all bad, all good, or bad or good except for some one factor. In "The Lagoon" and The Pearl the problem is man's relationship to other men. In Conrad's work the fight is between an ethical code which gives meaning to life and the renunciation of that code for an object of desire, between a simple and a complicated justification for one's life. The fight in the Steinbeck novel is between expanding and contracting loyalties, between isolating oneself or banding with others.

Only in the context of an understanding of the various similarities and differences in the problems which thwart the heroes can one come to an understanding of the meaning of "being thwarted" in each book. It might be of help to the students, when they approach the end of this unit, to sketch several contrasting features of the works, e.g.:

(1) The introduction in the Conrad work (lines 29-31, page 154, Rinehart, "The Lagoon") introduces the concept of the offensiveness of disbelievers; cf. the concept of compassion for disbelievers found in Resurrection.
(2) Hawthorne has his characters depend "upon one anothers' hearts" (p. 33, line 1, Rinehart, "Y. G. B."); Tolstoy presents the old man (Chapter 21, Book Three) as depending on no man.
(3) Goodman Brown (p. 21, Rinehart, "Y. G. B.") cannot be sure that what he sees is the true picture; Arsat in "The Lagoon" places great faith in what is seen (p. 158, lines 12-13, Rinehart, "The Lagoon").
(4) Brown is wrong in depending on others; Arsat and Kino are wrong in not depending on others.

There is but one further problem which should be mentioned here: the rationale for the distribution of the selections for this unit. The short stories marked for supplementary reading were so designated because for the most part they were concerned only with a part of the unit theme--loneliness. As a great deal of the concern in the core texts is with various conceptions of sin, these supplementary readings may be of help if the "loneliness" doesn't come out in the primary readings.

Resurrection is a most valuable inclusion in this unit. However, two major novels, in addition to the other material, may be too much material for the time which you wish to take. Thus Resurrection has been presented as complementary to The Return of the Native and to be chosen on the basis of the student's level of understanding. Another possibility comes to mind: students interested in exploring psychological concepts might read Hardy's work while those interested in exploring Christian (religious) concepts might read Tolstoy. Two other works are worthy of mention here with the idea that, should you be familiar with them, they might aid in studying the literature selected. They are Plato's "Crito" and "Apology" and Dostoyevsky's Crime and Punishment. The bibliography which aided the authors of this unit may also be of help to teachers. The principal works used were:

(1) Guerard, Albert. Hardy, Prentice-Hall, 1963.
(2) Holloway, John. The Victorian Sage, MacMillan, 1953.
(3) Robert Penn Warren, ed. Rime of the Ancient Mariner, Reynal and Hitchock, 1946. Mr. Warren's essay is particularly illuminating.
(4) Wright, Walter. Joseph Conrad 1857-1924, University of Nebraska Press, 1949.
(5) Hawthorne, Nathaniel. Scarlet Letter (the preface entitled "The Custom's House").
(6) Tolstoy, Leo. What Men Live By.

III. Notes on Hawthorne's "Young Goodman Brown":

The following notes will discuss three aspects of Hawthorne's story: its role as an allegory, its treatment of the concepts of sin and loneliness, and its religious implications.

The allegory in "Young Goodman Brown" is neither obscure nor arbitrary; rather, it is one which is well known in the history of literature. Without giving a detailed analysis, it might be well to have before us the passages in the early portion of the story which identify this allegory.

> "He had taken a dreary road, darkened by all the gloomiest trees of the forest. . ." (p. 22)
>
> and
>
> ". . . he passed a crook of the road, and looking forward again, beheld the figure of a man in grave and decent attire, seated at the foot of an old tree." (p. 22)

Together these two passages trace the outlines of a familiar allegory. A figure under a tree is usually equated with the Pauline "old man," with the devil or with death (when it is seen in evil connotations). A forest or woods is usually regarded as the home of the devil, the place of evil, the place of temptation unresisted. A crooked path or any sort of wayward road usually means the spiritual fall of a man, or, more literally, the way to sin, evil, and the devil. Furthermore, most generally whoever takes this path into the woods does so leaving someone behind.

All of these equations, of course, fit "Young Goodman Brown." The connection between the devil and the man Brown meets is suggested by his sinister appearance, his staff, and his manner. As one sees with whom the old man converses and about what, and as one follows him to the climactic forest scene, the connection becomes complete. Brown further meets him in a woods under a tree, the tree being his "place of contact" so to speak, and the woods the home of evil--and Brown discovers more and more evil the deeper into the forest he goes. Brown reaches both the root of the tree and the forest's interior by a crooked path of which it is said, ". . . and shall I be the first of the name of Brown that ever took this path. . ." Further, he has gone on this journey leaving his wife behind.

Two major works of literature come to mind in connection with the allegory of "Young Goodman Brown": Chaucer's Canterbury Tales (cf. Grade 7, The Meaning of Stories) and Spenser's Faerie Queene (cf. Grade 12, The Christian Epic). Both contain similar allegory and both may serve to clarify the work at hand.

In the Canterbury Tales, and more specifically in the "Pardoner's Tale," (lines 100-105), as students who have had the seventh grade unit, The Meaning of Stories" will remember, Death or the Pauline "old man" is found under a tree in a grove at the end of a "croked wey." The connection with Hawthorne's story is reinforced as the man offering directions along this path speaks of leaving the 'old man' "by my fey. . ." (faith). Recall in "Young Goodman Brown" at the very outset, "And Faith, as the wife was aptly named . . ." Furthermore, those to whom the man is giving directions are told "noght for youre boost he wole him nothing hyde." In the story at hand you will remember that the evil scene is shown to Brown in full soon after his boast, "think not to frighten me with your deviltry . . . . here comes Goodman Brown. You may as well fear him as he fear you."

Spenser's Faerie Queene presents a similar story of a knight representing holiness (Goodman Brown) leaving Una, representing truth, behind to enter the wood of error where he meets vice.

The allegory as a whole is given more force as Hawthorne's suggestion that Brown's experience might have been a dream sequence detracts from a merely literal reading of the story.

This allegory with its heavily religious overtones serves as a vehicle for the concepts of sin and loneliness. The analysis of these concepts is made a little difficult by the fact that Hawthorne presents neither a purely religious nor a purely psychological concept. Whether this is intentional on the part of the author or a result of his own confusion it is not the purpose of this note to say, confining itself as it will to analyzing what is presented in the work itself.

The concept of sin is religious in so far as what is at stake for Brown is his relationships with other people as those relationships are shaped in the light of his relationship with God. The unity of concept is disturbed, however, by a tendency to view Brown's problems as being simply a problem between man and man, which introduces a psychological treatment. The interruption to be sure is not explicit. It finds its implicit expression in the passages during which Brown is viewing the forest spectacle. I mention it here only because an awareness of this minor deviation will help prevent misunderstanding. If one wished to deal with the concepts of the story strictly as religious ones, that would be possible. I mention the psychological treatment also now because an awareness of the allegory permits the recognition of the religious aspect of the work. It is when the work is read literally that the psychological overtones appear.

In so far as the work's concepts are religious, Hawthorne's concern is with faith, hope, and charity on the one hand and pride on the other. Faith enters by the technical device of naming Brown's wife. Brown leaves her (or it) behind, spends much of the rest of the story searching for her, and finally loses Faith for good. "My Faith is gone!" Brown cries (p. 29), then it follows that he still has hope: "As hope came into his heart . . ." (p. 31). He in turn loses hope at the end as he distrusts and despairs (desperation in this case having the meaning of a loss of all hope). All of this occurs between Brown's opening address to his wife, "My love and my Faith," and his failure to greet the townsfolk at the end. Here charity has left his heart. The whole last paragraph portrays Brown as having lost all three: "He shrank from the bosom of Faith"; "He scowled and muttered to himself . . . and turned away"; and, "They carved no hopeful verse upon his tombstone."

What prompts this loss, of course, is Brown's pride. As the young Brown sees it he has been betrayed by all whom he has known. While in his youth he saw all as good and therefore loved all, he now sees all as evil including God ("'What God does the wizard pray to?' quothe Goodman Brown"). In his offended pride he fails to see evil in himself though, at the outset, he was bent on betrayal; and this thwarted attempt to understand what has happened further offends his pride, specifically his pride in his intellect. Thus it is that pride (and particularly intellectual pride) is Brown's sin as it is Chillingworth's and, to some degree, Dimmesdale's sin in the Scarlet Letter (see Grade 12, Sin and Loneliness).

The nature of his sin and of the situations in which he finds himself all make for a Brown indeed lonely. Set off as he is from all other mortals by his pride, he can look upon others only with scorn, never with compassion or love born of humility and a sense of his own sin. Alienated from others when they could not understand his peculiar behavior, he dies with an understanding which Hawthorne accepted--the evilness of men; but without the humility to accept it as such, which Hawthorne felt was the highest religious duty. He died lonely among men through his scorn, and alienated from God because his pride prompted him to question rather than to accept.

Hawthorne portrays this sin, this trap of intellectual pride in a conversation between Brown and the man he meets:

> Brown: ". . . I have scruples touching the matter thou wot'st of."
>
> Fellow Traveller: "Sayest thou so? . . . Let us walk on, nevertheless, reasoning as we go. . ."

Brown's scruples here are religious--by matter of faith. His downfall begins when "reasoning" is introduced into a religious matter.

So it is that from beginning to end the story embodies the concepts of sin and loneliness. It is in connection with these concepts that Hawthorne presents his religious references, both to the practice of religion in his day and to scripture. These all influence either the tone, the mood, the sequence of events, or the meaning of the story.

A good portion of the story may be played off against the story of the betrayal of Christ though such "playing off" may strike some teachers as overly ingenious. The opening of the story, first, suggests a betrayal--a possible reference to Christ's betrayal. The parting kiss may call to mind Judas in the Garden of Gethsemane; Faith's request to Brown to tarry with her just one night parallels Christ's request to the disciples. Christ's ministry, usually reckoned at three years, fits the marriage of three months between Brown and his wife; and the clock's striking is even reminiscent of the cock's crowing at Peter's denial. The whole set may aid in establishing the meaning of the betrayal in the story.

The other Biblical references are less closely related to one another. The fellow traveller's staff, so like a black snake, calls to mind the snake which tempted Eve in the Garden of Eden and prefigures Brown's eventual reenactment of the fall of man. A little later (p. 28) the voice of the woman entreating for a favor which might grieve her recalls the mother of James and John, who asked for a special place for her sons in "the kingdom" and was told that she did not know what she asked. Again the fellow traveller is represented as wearing decent attire ("Beware of wolves in sheep's clothing"); again the comment "the fiend in his own shape is less hideous than when he rages in the breast of man" (p. 29) calls to mind both the picture of the devil walking about as a roaring lion and Paul's remark that his continuing to do "what he would not" is "sin-within-him" which does "what he would not."

One finds references to beliefs and practices of the day which had to do in one way or another with Calvinistic New England religion and its perversions. The sky at one place is described as ". . . black mass of cloud" (p. 28), a subtle reference to the perversion of the sacrament of Holy Communion called the "black mass." Brown's connection between the Devil and the Indians (p. 22) suggests the common Puritan New England connection of the strange, different, or unknown and the evil, sinful or the devilish. Finally (on p. 33) the ceremony of initiation into evil at its worst is likened to the Christian sacrament of baptism. Goodman Brown, sinful by pride and lonely by scorn, sees only evil in man where he once saw good and so renounces God, faith, hope and charity because he can't see the beam in his own eye for the mote in others'.

> "A stern, a sad, a darkly meditative, a distrustful,
> if not a desperate man did he become . . .
> his dying hour was gloom." (p. 34)

IV. Notes on Conrad's "The Lagoon":

> "Those who know me know my conviction that the world, the temporal world, rests on a few very simple ideas; so simple that they must be as old as the hills. It rests notably, among others, on the idea of fidelity."

"A Familiar Preface," A Personal Record, p. xxi

No other single statement of Joseph Conrad's serves so well as does this to begin a discussion of "The Lagoon," of Arsat's sin and illusion and Conrad's treatment of both; in his short statement, Conrad suggests the theme of the story at hand and indicates how it will be handled.

Arsat, as he relates his story, has forsaken this simple idea of fidelity. In reaching out and taking the woman he loved, Arsat broke his bond of loyalty to his tribe and in so doing lost that which had guided his life, lost that which had given it meaning. This core of the story becomes the center around which all of its implications revolve--the center of Arsat's illusion. Arsat's illusion is given expression as he tells his story, "There is a time when a man should forget loyalty and respect" (p. 159). It is only after Arsat then has taken Diamelen away, as he has fled with her, lived with her and watched her die, that he comes to understand what loyalty and respect really mean. He expresses his dearly-bought understanding when he says, "What did I care who died? I wanted peace in my own heart" (p. 164). He has come to see his earlier pronouncement as a rationalization, an attempt to express a wisdom not his, a wisdom which knows what is good for man; he has found himself out, discovered that what really was at the heart of his actions was selfish desire, that in the intensity of that selfishness he willingly forsook the loyalty which bound him to his brother. "We are sons of the same mother--and I left him in the midst of enemies . . ." (p. 165).

So it is that Arsat has been living in illusion. This illusion finds another expression in an earlier comment of Arsat's, " . . . but I was not afraid of life. Was she not there in that canoe? And could I not with her find a country where death is forgotten . . . where death is unknown!" (p. 163). Here is, of course, the illusion of finding a home untouched by death, an illusion which is slowly shattered as Diamelen slowly, feverishly passes away. But there is a further illusion in the statement. What is it which Arsat is not afraid of as he says, " . . . I was not afraid of life . . ."? One is tempted to say that he was not afraid of what life held for him, not afraid of the consequences of his act. This answer, however, misunderstands the story; it seeks to understand Arsat's illusion by ignoring it; for it is precisely by deluding himself that Arsat has removed all question of consequences. What Arsat is aware of, no matter how he tries to rationalize it, is that he is forsaking what has given meaning to his life, forsaking it for Diamelen. It is with this in mind that one can answer the question asked above: Arsat is not afraid to live without what gives meaning to his life. This he finds to have been another illusion, for he had regarded it merely as the forsaking of a code under which he had lived but he finds it to be more.

> "I had her there! I had her! To get her I would have faced all mankind. But I had her--and--" (p. 164)

He knew with a burning awareness what he would do to obtain Diamelen, but now that he actually had her, what was he to do? Again as before, only as Arsat lives his life does he come to see his illusion, come to see that living without what gave his life meaning involves more than simply throwing off a code of behavior. Everything has now lost meaning--Diamelen and his love for her included. This above all strikes him: the death of his brother and that of Diamelen are only incidental because they are accidental; they did not necessarily follow from his actions; but what he does know is that there was nothing at all accidental about his decision, about his forsaking fidelity, and that this was his own responsibility. He can blame no one for the meaninglessness of his life; he chose to live it that way, deluded himself into thinking it possible, deluded himself in the intensity of selfish desire.

In his sin Arsat has entered a world of illusion, a world which is lonely. Finding no meaning for his life he can't act, his relationships with others have ceased to be relationships at all, and he lives concealed from all that he has left behind: "We had no more friends in the land of our birth . . ." (p. 160).

It is true that, in coming to this understanding of himself, Arsat shows signs of coming to be able to act, of resuming his bonds of fidelity by his own choice. He says, " . . . but I am going back" (p. 165); at the end, a searching light shines on him as he looks back upon his world of illusions. This, however, should not lead one to see "The Lagoon" as a story of retribution. First of all, Arsat has not received retribution for his sin or made restitution for it. It is one thing to come to recognize the illusion in which one has been living, to see what was formerly justified as a wrong. It is another thing entirely to act from that understanding. Everything in the story which leads one to see a direction toward retribution serves not to explain retribution but rather to draw out what it is like to do wrong, to delude oneself, to live without meaning for one's life, and to come to understand one's life in this light. In other words the "retribution" which Arsat receives is only the knowing of life as meaningless.

All in all what Conrad is about is a literary presentation of a psychological concept of "sin" as involving the violation of a group's conventional code of behavior. Guilt is an "illusion" or part of the psychological study--a study whose nature is determined by a problem in the relationship of man with man. Arsat's story serves to present this, as does the reaction of others to Arsat. The polers find Arsat offensive--he is an "unbeliever," he sets up his illusions in the place of belief, duty, and the code. His life offends them, first because it is a personal affront: it points to their way of life as wrong, as rejected; it is a pretense in which the pretender in justifying himself attempts to dictate what is good for them and what is bad.

Conrad's presentation of all this is reflected in his descriptive passages. Arsat's inability to act is mirrored in the motionless lagoon; the whole sense of paralysis is conveyed with an excellent choice of words. Choice of words deserves the closest attention of students who study Conrad's "The Lagoon." Indeed, it is the simplicity of the setting and the description which best convey Conrad's sense of the simplicity of such an idea as fidelity. This is not, of course, to suggest that it would have been easy for Arsat to have been faithful or loyal. Conrad is not trying to contrast simplicity and difficulty. The opposite of simplicity in Conrad's sense is not difficulty of life but complication of life. Arsat complicates matters by his illusions, by his dictates to man as to what is good and bad, by introduction of exceptions (especially those which result from rationalization); and he puts these complications in the place of the simple idea of fidelity. He finds it difficult to be faithful, to be simple (as we use the word when we say "a simple man of God"); and he comes to see that fidelity is simple--simply a matter of being faithful rather than selfish, a simple choice which he clouded over with illusion. As the story closes, Arsat, in coming to understand himself in the light in which he does, is coming to see the simple way of fidelity, the way he had abandoned.

> "I shall not eat or sleep in this house, but I must first see my road." (p. 165)

V. Notes on John Steinbeck's The Pearl:

In The Pearl as in much of his work, Steinbeck is exploring the concept of sin, probing the frustration and loneliness of two people, writing on "what life is all about." The two people are Kino and Juana: Kino the fisherman, the peasant, the hopeful, and Juana his wife; people like those whom Steinbeck knew so well, for whom he had such feeling, the portrayal of whose life and problems he made his life's work.

By way of working out his story, the author sets up an antagonism between Kino's people and the townspeople, interjects anonymity by leaving the powers which affect Kino's people nameless, and parallels the events of the story and the moods of the characters with descriptions of nature. In the main, it is with this set of topics that this note intends to deal, in an attempt to understand Kino's sin and loneliness in the light of Steinbeck's treatment of them. At the outset crisis strikes Kino's family; and, in the face of this crisis, aid is sought from the community. The doctor's reaction represents the reaction of the townsfolk and gives rise to the antagonism which continues throughout. This antagonism welds together Kino's people in a common bond of distrust and dislike for the townspeople who suppress them. As the story begins, mutual antagonism serves as a backdrop for a rather consistent theme in Steinbeck's works: the moral rightness of expanding loyalties. Kino is presented at the first with a limited family loyalty, a loyalty which includes only Juana and Coyotito and which Steinbeck presents in Kino's feeling for his family, a feeling which pervades him, a feeling in his head--the "song of the family."

In the presence of crisis, this song of the family, this tie of loyalty begins to expand. The first new circle encompasses the neighborhood ("The thing became a neighborhood affair," p. 13) as the doctor is fought, and becomes an evident circle as Kino's shame becomes the shame of all. Then, with the finding of the pearl, the circle of loyalties grows far enough to include all the Gulf people who are like Kino; his plans for the pearl are to use it to educate Coyotito so that he can help all of the Gulf people, can help them to weigh the words of the better educated townspeople, to know when the doctor is and is not needed. ("He will know and through him we will know," p. 38.) Then, with the trouble the pearl brings, these loyalties begin to narrow, first back to his neighborhood as mistrust seizes him, then to his whole family as the trouble mounts, and finally to his immediate family--Juana and Coyotito--as flight becomes necessary.

Parallel to this expansion and contraction of loyalties runs the success and frustration of Kino and his people. As the expansion begins there is frustration in their efforts to find a doctor, to live, to make a way of life. Then with the expanding loyalties comes the pearl, the "music of the pearl," and hope for Kino's people. Finally, as the circles of loyalty subside, frustration sets in--the pearl can't be sold, the robberies are attempted, and the flight takes place. Steinbeck's theme is that only by bonding themselves together can the people ease or end their frustration; this theme originated with a view of the antagonism between the Gulf people and the townsfolk and constantly gained strength by the reinforcement of this antagonism. After the theme is initially presented in the failure of the doctor to aid Coyotito, it continues with the doctor's visit, the priest's call, the cheating by the pearl buyers, the greed of the town, and the death of Coyotito. Each of these events, as reinforcing the antagonism, presents the need to expand loyalties.

But there is more, These townspeople are anonymous; they are beggars, or doctors, or pearl buyers, never named, and the pearl buyers are not the real frauds--there is someone (some nameless one) beyond them yet. This anonymity serves to heighten the frustration of Kino and his people--there is no one to blame, no one at whom to strike, no one against whom to rebel. It is impossible to succeed by beating a nameless force, and so it becomes necessary to succeed by raising their own level, by uniting in common cause.

Through all of this, from the time of the Doctor's denial, Kino sets his course; he will find a reason for hope, he will keep this hope alive, and he will, through that hope, help his people. He becomes a man with his life focused on a goal, a man with a task to do.

This combination of circumstances, anonymity, antagonism and frustration, leads to Kino's loneliness. Long before his flight separates him from his people, Kino is lonely. He becomes lonely as he sets out upon a course of life which only he can lead, which others (even his wife Juana) do not understand, which requires all of his skill, energy, passion, and thought. His determination makes his life a lonely one. Then, as he withdraws into himself, as he gradually curtails his loyalties, the loneliness mounts. Kino the fisherman, the peasant, the singer of songs becomes a lonely, frustrated man as he turns to himself more and more to protect the pearl rather than maintaining his enlarged circle of loyalties, rather than turning to the people for whom the pearl held hope. Thus, as he withdraws, the pearl becomes his and renews the frustration: "This pearl has become my soul" (p. 93).

All the antagonism which Steinbeck portrays, all of the loneliness and frustration, all of these are connected with descriptive passages, in which Steinbeck's portrayal of nature parallels his portrayal of the expansion and contraction of loyalties.

As Kino and Juana set out, for instance, the wind is blowing "fierce and strong." Then Kino feels a rush of exhilaration. A little later coyotes are crying and laughing, owls are screeching and hissing; at the same time Kino's head is filled with the music of this pearl which has become a menace to Kino and Juana. Throughout the scene the parallels occur. In the hot sun, over the cracked dirt, theirs is a panic flight; when they reach the rising mountains, panic leaves and strength takes its place. Finally it is "late in the golden afternoon" when Kino and Juana return.

Even the pearl itself is an apt parallel from nature for the theme of the story; being formed of the ever larger laminae which the oyster spreads around the grain that troubles it, the pearl serves as a reminder of the theme of ever increasing circles of loyalty.

The story as a whole is presented as a series of events which followed naturally from one to another. Beginning with the discovery of the pearl, the story continues with Kino expecting to protect it, someone attempting to steal it, Kino fending him off, someone attacking Kino, Kino killing his attacker, the men coming for Kino, and Kino taking flight. Indeed, the story moves so smoothly from event to reaction to event and each step seems to proceed so naturally from its predecessor, that one is tempted to say the story is like the description of a scientific experiment: once the reaction was triggered the rest followed in due course. If this is the case it is hard to assign any praise or blame to Kino and his actions, as it would seem that Kino had no control over what happened or how he reacted, no choice in the matter.

There are several references in the work itself which support this view. The anonymity of the townspeople, their lack of names, makes it impossible to pinpoint the source of suppression, impossible to find anything to praise or blame; for it leaves the townspeople in the same position, as if they couldn't help what they did.

It is not just this anonymity leading to a sense of helplessness in the effort to praise and blame which supports this view. There are other passages which give it even more credence. For instance, before their flight, Kino attacks Juana, and is described as hissing "at her like a snake" (p. 80). At the same time Juana stares at him "like a sheep before a butcher." Later, when the trackers have neared where Kino and Juana have stopped in their flight to rest, they are described as being "as sensitive as hounds" (p. 100). They "scuttled over the ground like animals" (p. 101) and "whined a little, like excited dogs on a warming trail" (p. 101). After they have discovered Kino's whereabouts, he turns to the hills "as nearly all animals do when they are pursued" (p. 104). And together with this there is the description of the town and townspeople as "a colonial animal" (p. 32). All of these analogies in which people are thought of as being like animals lead to a feeling for Kino's story as being like that of an animal--he is unable to control either what happens or how he reacts to what happens, he is like an element in a chemical reaction.

But this is not how Steinbeck seems to want us to see Kino. He would want to say, for instance, that it is a good thing for Kino to expand his loyalties, which he could hardly do if Kino had no choice in the matter. For Kino's frustration and loneliness to be moral topics they need to be the result of his own choice, not conditions forced upon him by the situation at hand.

It may be, however, that Kino's decision to do something about his own and his people's plight (which takes the form of the search for the pearl) sets him on a course which he will not abandon before its completion. In that case the protection of the pearl, the murder, and the flight all come as a result of his decision, and in that case he did have control of what he did: his escape like an animal in flight was of his choosing.

The note on Steinbeck's view of men in this work is not included so much to suggest a way of reading Steinbeck as it is to draw the implications of a certain view of man, by tracing that view to the analogy on which it rests. One may, it should be said, be quite able to read the novel seeing Kino's troubles as in his control and still see a mechanical or "animal" view of man as implicit in the work, though not integral to it. Once it is seen as basic to the novel, it follows that the work is pure description, that Kino is, indeed, animal-like and not subject to praise and blame, that sin and loneliness, far from being concepts having to do with human life, are simply descriptive of the conditions of a brutish existence.

VI. Notes on Rime of the Ancient Mariner:

This note will present only a brief study of the poem, in an attempt to lay out the thematic levels on which it proceeds and an analysis of how it does so. The starting place is the mariner's transgression: "With my cross-bow/ I shot the albatross," and the question is whether this poem is to be regarded as more than another "who killed cock-robin."

In the passages which talk of the albatross an identification is made; the arrival, stay, and murder of the bird is the arrival of a man (As if it had been a Christian soul,/ we hailed it in God's name"), the stay of a man ("It ate the food it ne'er had eat,/ . . . [and] perched for vespers nine"), and the murder (betrayal) of a man ("the ancient mariner inhospitably killeth the pious bird of good omen" [gloss and my italics]). In an act which violated both hospitality and sanctity, the mariner slew one who had shared their "bed and board" and which is later seen as having brought them good.

This, however, is not the end of the transaction, for what was a crime against man (the slaying of a bird), now becomes a crime against God. "We hailed it in God's name" offers a literal sign of this transition which is completed symbolically in the exchange of the dead bird (betrayed) for the cross upon the mariner's neck (another betrayal?). Thus, the passages dealing with the albatross lead one to see the mariner's crime as a crime of great importance.

The question of why the mariner slew the bird is, of course, as yet unanswered. That answer requires another analysis, which will rest, in turn, on the answer to the question as to why Coleridge did not give us a literal murder in the first place if that is the significance which the crime was to have. The answer seems to be that such a literal murder would place in jeopardy the main significance of the crime by making that significance a matter of probability; more specifically, the motiveless nature of the crime would be in doubt were it a crime perpetrated against a man. By constructing the crime to be, in its literal sense, a crime against the bird, the motiveless nature of the act is left intact. This absence of motive, then, becomes of chief importance by making the severity or enormity of the act rely on the state of the will which prompted it. The nature of the act leads to the conclusion that the crime is of great significance. And finally, as the poem develops one sees that the mariner's agony, both physical and spiritual, rests on this crime--a matter which again establishes the gravit
of the act.

The character of the ancient mariner's crime is central to one of the themes of the poem and to the theme of sin and loneliness, a theme which may be referred to in any number of ways but which we will refer to as the "sacramental-view-of-life" or the "one-life" theme. The theme may be introduced and clarified in the passage:

> "The many men, so beautiful!
> And they all dead did lie:
> And a thousand thousand slimy things
> Lived on; and so did I."

This passage is an expression of protest on the part of the mariner, protest against the slimy things--objects of scorn and derision--living on while the men, who are described as beautiful, lie dead. The mariner who has killed the albatross sees the world as divided between the worthy and the unworthy which, in this case, comes down to a division between man and nature or a division between man and the creatures of nature. It might be well to look back from this point and forward from the mariner's crime to glance at Coleridge's intentions in portraying the sufferings of the crew after the mariner killed the bird.

Our immediate reaction may well be to ask why the mariner's fellow crew-members suffer at all. This ignores, however, a very particular aspect of the crew which needs to be brought out. When the mariners are of the opinion that the albatross brought the breeze, they condemn the slaying. When, the fog clears, however, they applaud the act; and, finally, in the dead calm which ensues they again condemn the act. The crew have made of man's desire the measure of good and evil, have used man's convenience as their standard of worth, and have thereby alienated themselves from nature, have isolated man by giving him a special consideration as apart from that of which he is rightfully a part. And this is not the end of the crew's error, for added to all this mentioned, they judge an act as moral or immoral on the basis of its consequences (an objective criterion) rather than on the basis of the spirit in which the act is perpetrated. The consequences, with respect to the crime, are sheer accident whereas the source of the crime, the mariner's will, is the "sine qua non" of the crime. The nature of the suffering of the crew should allow us better to see into the sacramental conception of the universe, the theme of one life. What Coleridge intends that we grasp is that all things are the creation of God, that His creation "mirrors" Him, and that each part has its place in the universe. (Man is a part of nature, and the objects in this nature are proper objects of man's admiration, being God's creation and mirrors of their Creator). One sees the same sort of thing in much of Jewish Psalmody: a rejoicing in nature because it is God's (cf. Man's Picture of Nature, Grade 10). The same rejoicing is found in the canticles contained in services of worship in the Book of Common Prayer and other liturgical worship, of Christian, Jewish, and non-Western groups.

When the mariner repudiates the slimy things, he repudiates a view of nature and is thereby rendered unable to pray or communicate with the creator. Through suffering he comes to love the slimy things for what they are and, by coming to this sacramental view, can thereafter pray.

Other references in the poem bear this out. The man whom the ancient mariner stops is a wedding guest, the wedding being the union of man and wife ushering in the story of the union of all creation.

Indeed, the Rime may be seen as dealing with the three stages of love described in the "moral" of the romance:

> O Wedding Guest! this soul hath been
> Alone on a wide wide sea:
> So lonely 'twas, that God himself
> Scarce seemed there to be.
>
> O sweeter than the marriage feast,
> 'Tis sweeter far to me,
> To walk together to the kirk
> With a goodly company!--
>
> To walk together to the kirk,
> And all together pray,
> While each to his great Father bends,
> Old men, and babes, and loving friends
> And youths and maidens gay!
>
> Farewell, farewell! but this I tell
> To thee, thou Wedding Guest!
> He prayeth well, who loveth well
> Both man and bird and beast.
>
> He prayeth best, who loveth best
> All things both great and small;
> For the dear God who loveth us,
> He made and loveth all.
>
> The Mariner, whose eye is bright,
> Whose beard with age is hoar,
> Is gone: and now the Wedding Guest
> Turned from the bridegroom's door.

Three stages of love are described here:

(a) the union of man and wife in society
(b) the union of society in worship of God
(c) the union of society in worshipful love of God's creation as part of loving Him.

When the mariner killed the albatross, he destroyed (c). When he hated the mariners he destroyed (b), and when he stopped the guest, he seemed to be preventing (a). Again when he loved the water snakes he recovered (c), and when he prayed and saw the dead as beautiful he recovered (b); finally he places "marriage" (a) in its proper context, the love represented in (b) and (c). Suffice it to say here that the primary theme of Rime of the Ancient Mariner is the theme of "one-life," and that it is in the light of this theme that the poem may be understood.

One should read the Ancient Mariner more as a symbolic poem than as an allegorical one, regard allegory and symbolism as follows--allegory (and in all fairness it should perhaps be said "bad allegory") as an arbitrary sequential translation which requires the "invention" of "visibles" to express "invisibles," symbolism as the expression of ideas, in a sense, fused into the symbol itself. The importance which all of this holds for the reading of the poem is two fold. A reading of the poem on what has here been described as an allegorical level and in which, for instance, the hermit equals an acquaintance with the life of the spirit not only is somewhat arbitrary but also ignores several important considerations such as the hermit's relation to nature and his role in returning the mariner to society. To read the poem as symbolic may be also to perceive the connection between symbolism as a literary device for communicating ideas indirectly and sacramentalism as a religious attitude which views phenomena as communicating indirect knowledge of the creator. Coleridge felt that symbolism combines the poet's heart and intellect.

With this note in mind, let us turn to the secondary level of the poem: the theme of imagination as a value creator and the images which present it as such and which, by their insistent presentation, carry symbolic import. The main one of these is the light imagery which allows the events in the poem to be "filed," as it were, according to the sort of light in which they occur. This imagery, begun in the introductory motto, is operative down to the next to last passage in the poem. This note will not go into the light imagery in detail but rather present just enough detail so that the teacher can do the rest for himself (or with Warren's essay).

The imagery is for the most part straightforward; good events (imaginative, sacramental, symbolic) happen in moonlight and bad events occur in sunlight. The albatross, the bird of good omen, appears at the same time as does the moon:

> "In mist or cloud, on mast or shroud,
> It perched for vespers nine;
> Whiles all the night, through fog-smoke white,
> Glimmered the white moon-shine.

Thus, not only is there established a connection between the moon and good events but also a connection between symbolism and imagery. This in turn not only lends importance to the imagery but also marks the beginning of a connection between the two themes. Further, the mariner's crime becomes on this level a crime against the imagination.

The sun's connection with bad events is established by its relation to the crime, as immediately after the shooting of the albatross is announced, the poem continues, "the sun now rose upon the right." Immediately, upon the sun's rising, the crew condones the act:

> "Nor dim nor red, like God's own head,
> The glorious sun uprist:
> Then all averred, I had killed the bird
> That brought the fog and mist."

The sun has become the light of the "mere reflective faculty" that "partook of death" as Coleridge himself puts it; and soon the ship is taken to a sea of death.

Thus it is that the theme of the imagination is ushered in: following this, the mariners become aware of the spirit that is with them. This awareness is not born of reflection, but, in the poem's words, "And some in dreams assured were . . ."; that is, by the imagination it is known, in a dream, when their former regard for objectivity is gone.

The imagery continues and can be followed through the significant events. The moon is reflected in the eyes the crew turn on the mariner; when he is yet unregenerate horror is shown, and when he is changed, joy. Then the slimy things are lighted by the moon, and right following the mariner sees them as God's creatures. The sun prevents the forward motion of the ship at the time when the polar spirit (thought of as the power of imagination) turning from the ship still requires vengeance. Following this the mariner is thrown into a "swound" (note the connection with dreams) in which he comes to a better understanding of his situation. So on to the end when the men of light and the moon guide his return thus reuniting the primary and secondary themes.

So also it is that the symbolism renders the primary theme intelligible and unites "heart and head"; the symbolism requires an act of the imagination if it is to be understood, an act which reveals truths not found by the intellect.

In this connection it should be mentioned that the light imagery is, of course, connected with other image clusters such as storm, wind, etc. Storms, often presented in the imagery of terror and power, are redemptive, life-giving forces, and can be connected to the image of the moon as the deadly calm to the sun, carrying still further the theme of imagination as opposed to stagnation.

The mariner and the crew commit a grave crime, grave in that it is against God and grave also in that it leads to spiritual stagnation. Through a redemptive process, the mariner comes to a sacramental view of the world and casts off his matter-of-fact view for an imaginative one; he gains understanding and spiritual truth; he atones for his crime and is returned to society. His life is changed, and he becomes a force--the glittering eye which captivates the listener. All of this is carried by the symbolism and imagery found in the poem.

There is still an area yet to be covered, however; and that is the theme of sin and loneliness as it is embodied in Rime of the Ancient Mariner. It should in this regard be said that the mariner's crime per se is not to be regarded as the sin. It is as this crime comes to be seen, first of all, as symbolic of original sin, also motiveless and prompted by a perverse will, and as a crime against God, that the concept of sin enters the work. The world of love not the world of self is the criterion of good and evil in the poem. Coleridge is dealing with a religious concept of sin.

Loneliness, of course, enters as part of the mariner's suffering. Denial of the imagination and the sacramental view of life leaves the mariner spiritually alienated from the crew, unable to communicate with them or with God, separated from that wholeness in God's creation to which he rightfully belongs. It is the sort of loneliness which is a direct opposite to the loneliness found when the poem begins as the mariner captivates his listener and communicates with him, as he comes to be regenerate:

> "He holds him with his glittering eye--
> The wedding guest stood still,
> And listens like a three year's child:
> The mariner hath his will."

VII. Notes on The Return of the Native:

This note will explore Thomas Hardy's The Return of the Native with an eye to Hardy's views on man's place in the universe, social change, and man's lot in life; his use of the bizarre and his stress on the accidental; his presentation of loneliness and frustration; and some of his literary techniques. Since the analysis of so many aspects of Hardy's work makes for a rather vast undertaking, many details of the work which might support our analysis will of necessity be ignored. This note is, at best, a sketch. As a sketch, it should serve first to call its topics to the attention of teachers and students and, second, to offer a way of looking at these topics which will render the novel at least partially intelligible.

It might be best to start with some of the literary techniques. Diggory Venn, the reddleman, is presented early in the novel, and plays a fairly major role as a character and as a link connecting various entities in the novel. We first meet him aiding Thomasin with whom, we later learn, he is in love. At this juncture he is met by Captain Vye, and immediately thereafter by Mrs. Yeobright. As the story goes on it is Venn who discovers the affair between Wildeve and Eustacia and who again aids Thomasin by breaking up the affair. Toward the end of the novel he again troubles Wildeve to help Clym; and by this point he has been the confidant and advisor, so to speak, of both Clym and his mother. Finally he brings to Clym the news he has searched for, saves Clym's life, and marries Thomasin. Thus he serves to connect the lives of the Wildeves, Vyes, Yeobrights and various combinations of the same.

Just as Venn serves the "linking" function so also does the setting operate in the same manner, i.e. as setting for events but also as a link among characters. The scene which Venn observes that first night, that place that "occupied the crown of the tumulus, which was known as Rainbarrow for many miles around," is the hub around which Mistover Knap, Bloomsend, Alderworth and the Quiet Woman Inn all circle. It is the place where we first see Eustacia, the natives, and Mrs. Yeobright. At the time of their appearance there, Venn and Thomasin are also within view. Wildeve and Eustacia meet there and Wildeve walks there on many a night after Clym and Eustacia have taken up there. Venn hears Wildeve's conversation with Eustacia there and Eustacia walks there after leaving Clym and before going to Wildeve.

Of Venn it is said that he may always be found on the heath; and of the Barrow, "It formed the pole and axis of this heathery world." Both Diggory Venn and the Barrow serve to focus attention on the heath itself, at once the setting for and main character of the work.

Egdon Heath, which may be thought of as a character if one wishes to get at the heart of Book I, presents Hardy's views on social change, man, and man's place in the world. This small heath, made to seem a universe of its own by the time references to the ancient past which are used, mirrors the events of the novel. At the time of her trip to Clym's, Mrs. Yeobright encounters a heated afternoon, still with no breeze, yet with the trees moaning . . . "the hollyhocks hung . . . the sap . . . simmered." There is the fatal closed door. Later when Clym sends his letter to Eustacia, it rains and the rain threatens to come on heavily. The night is said to bring to mind great historical disaster. Then occurs the incident at Shadwater Weir. Even in its raw power the heath fills the function of mirror to the actions of the novel. The patch of land Wildeve has claimed from the heath is the only indication that the natives have any control over the heath at all. Every natural event that occurs on the heath is accidental so far as the natives are concerned. They have no control over it, no purpose to which they can put it. Likewise, the major events of the novel seem as intractable as the heath. Eustacia's and Mrs. Yeobright's misunderstanding occurs completely by accident, without their being able to exercise control over the situation. So it is with Mrs. Yeobright's finding a closed door, Clym's loss of sight, Venn's discovery of Eustacia and Wildeve. All are accidental. All are free of any of the control exercised by the characters.

Finally, one other character, Thomasin Yeobright, bears a centrality much like Venn's, a centrality which is suggested by her strong tie with the heath itself. Damon Wildeve asks her if she likes Egdon Heath and she replies, "I like what I was born near to; I admire its grim old face." This relationship suggests her function as a connective, her bearing a relationship with everyone: the Vyes, the Yeobrights, the Peasants, Damon, and Venn. But whereas Venn's is an active role, Thomasin plays a passive one; she is acted upon rather than acting. Thus it is fitting indeed, though not Hardy's original intention for the work, that Venn and Thomasin end up together--each, the other's.

These linking techniques serve as the basis for the rhetoric which expresses Hardy's views on social change, man, and man's place in the world. Several passages indicate Hardy's view of social change. The heath which, you recall, mirrors the events of the novel is dated by several time references which serve to show the changeless nature of the heath which has remained the same throughout time, which still shows the marks made upon it by ages long past. The small portion of the heath which Wildeve has tried to claim("Wildeve's Patch") was claimed only with great effort--one man dead, one man ruined, and indications that time will return it to its former heathery state. Thomasin's comment on the heath serves to transfer this line of thought to the people of the novel. Mrs. Yeobright injects this theme of changelessness when she thinks Clym walking before her is her late husband and again when she calls her late husband to mind in her conversation with Clym about success. Clym's educational project, with its promise of change for the natives, first falters, then fails, then changes into another project; it changes from a project which the natives considered none of his business to a project which tells these good and simple natives what all good and simple people have said and done throughout history--recall the natives' comments about the project at the end of chapter one, Book III. No changes occur which would alter the course of the two Yeobright marriages, each of which was presented as unpromising from the start. Finally, the only real change which is mentioned is the change in the ideal of beauty, a change which Hardy presents as having started with the ancient Greeks and as not having been completed at the time of the story. Of it Hardy says, "Should there be a classic period to art, hereafter . . ." All of these references indicate that Hardy regarded social change as much like natural changes--as often very slow, as not susceptible to change through the efforts of man and rarely to be speeded up by any outside influence.

One of Hardy's comments about Eustacia (in the chapter entitled "Queen of Night") suggests the relationship between Hardy's view of social change and his view of man. He says of her that she had "Lost the godlike conceit that we may do what we will, and [had not yet] acquired a homely zest for doing what we can." Pointing to the idea "that we may do what we will" as a "conceit," Hardy depicts the processes of social change as bigger than man; by calling "doing what we can" something for which man can have a homely zest, he suggests that man's powers in relationship to nature's are exceedingly limited and that the recognition of this is healthy.

Early in the novel, Hardy speaks of the creatures and objects on the heath: "the spirit moved them." The sounds which can be heard on the heath vary according to the species making the noise but the force behind them is a single spirit which dwells in each of them, the force behind their signs of life. As all of the sounds blend into the sound of the heath along with Eustacia's "lengthened sighing," one is given the impression that no one sound has any more importance than any other, that each has its own place, all equally real, equally valuable. Thus, one not only gets the impression that individual people are of the same importance as objects in nature but also that they are much like these objects--subject to certain forces, unable to change their place, their nature: products of their environment. Thus we see the natives, whose life is one of response to their surrounding conditions, cutting furze for a living because that was the living this heathery world provided for them. They continue old customs--the mummers, singing to the wedded couples, and making the bed ticking--always following, responsive; never initiating.

Over all of this is Hardy's comment on Eustacia's faring well on Olympus. Eustacia is Hardy's picture of what the "gods" are like. Man's lot is, indeed, a dim one if the gods are like Eustacia, forces which use people for their own advantage, who seek from them the answer to their dreams. It should be noted that Hardy does not wish to say people are just like objects of nature, totally determined by their environment. Clym wishes to break away, Eustacia tries to change her lot, Damon is dissatisfied with his lot. It is not so much that man, being like a plant on the heath, can't wish to change, but rather that man, being subject to the capricious play of the powers that be and of no more cosmic importance than the plant on the heath, cannot but fail if he does so wish, can only succeed if he lives as nature and society would have him. (This view can be set against the various views of man's place in nature set forth in Man's Picture of Nature, Grade 10.)

In his presentation of these themes, Hardy uses the bizarre and the accidental a good deal. The dicing between Wildeve and Christian Cantle, the Guy Fawke's Day celebrations, and the practice of voodoo are but a few of the bizarre incidents. The bizarre gives one a sense of the timelessness of heath life--the closeness of the savage and the surface of Victorian civilization. The accidents (the mistakes concerning Mrs. Yeobright's comments on the gambled money, the fire Charley lit to cheer Eustacia, and the letter Clym sent) point up how little comprehension of and control over their situation men are able to have. The addition of the bizarre happenings merely accentuates how, in a situation where control cannot be exercised, the most unusual things can happen, how the most ordinary of events can affect people's lives, and how the most unusual things can seem quite ordinary in a given situation. It should be noted that all of this emphasis upon the bizarre and accidental merely accentuates Hardy's view of man and man's lot in life; though very crucial events take place in bizarre or "accidental" circumstances, Hardy does not wish to say that the presence or absence of any of these situations would have altered the outcome of the main characters' lives. Rather, Hardy wishes to say that inevitable disaster comes despite the appearance of the bizarre and accidental as occasional seeming relief from the movement of landscape, sky and man toward fixed ends. Thus, had even the bizarre incident in the night and the accidental misunderstanding over the lost money not occurred, Eustacia and Mrs. Yeobright would still never have patched up their differences.

Hardy's views on social change, man, and man's place in the world find their culmination in his presentation of native life, the life of such folk as Charley, Grandfer Cantle, Fairway, and Humphrey. None of these characters is dissatisfied as are Clym, Damon, and Eustacia; none seeks to work great changes in their lives or the lives of others. They accept their lot as furze-cutters, make the best of it with simple pleasures, and submit rather than rebelling at the forces which stand over them. They do not hold an exalted view of themselves and some, like Grandfer Cantle, even question whether their individual lives are of great importance. Time is neither important nor judgeable on the heath, and their imprecise, easy-going way of life fits well this heathery environ. Occasions for merry-making come naturally--weddings, holiday celebrations, and births; and the natives make the best of them by accepting them as they are. As such, they present a contrast to the main characters and give focus to Hardy's presentation of sin and loneliness.

For the most part, it is the set of main characters--Clym, Wildeve, Venn, Eustacia, Thomasin, and Mrs. Yeobright--who can be said to be lonely or frustrated to one degree or another; and, of these, Clym and Eustacia not only are of chief interest but also serve as models for this discussion. Note first that all of these people, and especially Clym and Eustacia, share a common dissatisfaction with their environment, their society. Clym's dissatisfaction can be seen as the "raison d'être" of his grandiose educational plan; Wildeve's, in his constant attempts to have what is not his; Venn's, in his efforts to have what is out of his reach; Eustacia's, in her burning desire to extricate herself from her life on the heath, in her dream of Paris; Thomasin's, in her disappointment in her marriage; and Mrs. Yeobright's, in her esteem for success.

All of them are also portrayed as being in some sort of dilemma. Clym's difficulties involve Eustacia, his mother, and his plans; Wildeve must choose between carrying on with Eustacia or leaving her alone; Venn must choose between helping Thomasin and not getting involved with a woman he can't have; Eustacia's dilemma concerns resigning herself to Clym's plans or urging him to accept her desires; Thomasin must choose between leaving an unhappy situation and making the best of it; and Mrs. Yeobright must either allow Clym to lead his own life and attempt what she thinks unwise or treat him as still her young boy and discourage him.

Thus we see all of these people rejecting the circumstances in which they find themselves and ending up in a dilemma as a result. It should perhaps be mentioned again in this regard that it is the rejection of what comes which is essential in the frustration of the wills--not the bizarre or accidental. The bizarre and accidental do give rise to frustrating situations, but only as the characters see these situations to be to their advantage or disadvantage as far as the desire to change their environment and to solve their problem is concerned.

This is another way of saying that something within themselves (for instance their desire to change existing situations, to do as they will) is the source of their frustration, not something outside of them. It is because of this factor that Clym and Eustacia emerge such different characters. What bothers Clym is basically the way he treats others; while what bothers Eustacia is the way she is treated. Finally their disparity comes out in the variance of the reactions to Clym's blindness. (To recapitulate: it is not Clym's blindness which deters his plans, but his own and others' behavior and his own change of heart.) Thus at least their frustration is something that can be remedied, not by changing something outside themselves, but rather by changing their aim to alter their environs. This is what Clym does; he learns the homely zest for doing what he can. So also to some extent do Thomasin and Venn, and, perhaps, even Mrs. Yeobright. And it is precisely this learning to do what one can which does not occur in the case of Eustacia and Wildeve. Clym's, Venn's, and Thomasin's lives have come to be like the lives of the natives who keep their rhythm with the living seasons.

The loneliness of Hardy's characters is of two types, one the sort which is encountered by those whom circumstance has separated from the objects of their desire, from the company they wish to keep, and from the relationships which they value. This is the loneliness of Wildeve and Eustacia. Then there is the loneliness which comes from isolation which is self-imposed. Venn and Clym are lonely in this manner. For the most part Thomasin and Mrs. Yeobright share in each. Because of this difference Clym can respond to his situation by singing, while Eustacia is despondent; Venn can live his life alone (he has dedicated himself to a purpose) while Wildeve is discontent. Clym's loneliness merely accompanies his frustration, while Eustacia's loneliness is part of the source of hers. The loneliness of these characters is emphasized both by the contrast provided by the natives and by the isolation of the heath itself; however, one should not think that the isolation of the heath creates such loneliness that, were it not for the heath, the loneliness would not be present.[1] Hardy's essential loneliness is inner.

The idea of sin has not yet been introduced in this note. It seems strangely inappropriate to introduce it in a discussion of Hardy; yet one can speak of "sin" in Hardy's novel if one thinks of "sin" as meaning primarily frustration, such frustration as derived from living out of harmony with one's surroundings. Frustration, "sin" in this sense, has to do principally with behavior, as in Clym's case: he is disturbed about his behavior toward his mother; it also, again as in Clym's case, has to do with discontents which gave rise to behavior. Furthermore, consequences or results play a major role in Hardy's picture of frustration as "sin": Clym is remorseful that his behavior affected Mrs. Yeobright as it did, that she perhaps died believing that he was resentful. Finally Hardy's picture of "sin" or "frustration" is concerned only with relationships between people, with the thwarting of the human will by material, or environmental or societal forces.

For the most part main events which embody these themes take place in the first five books. Book VI was an addition which Hardy added for the convenience of publication in serial form. As it originally stood in its five parts, the novel is very reminiscent of a play. Opening with the discussion of the heath as it does, the first part provides both a setting and, by paving the way for the action to come, it offers something almost akin to "stage directions." Certain chapters which depict characters seem almost to be addressed to an actor who is to play such-and-such part. Finally the combination of action following dialogue adds the final effect which calls to mind the play form.

All of these go together to make up The Return of the Native. It is a strange story about strange people, and Hardy's sympathy with his characters is evident throughout. Eustacia, whom the reader perhaps learns more about than any other character, embodies all the things which Hardy warns against, flies in the face of all of Hardy's views by her very mode of life. Yet, Hardy cannot but treat her with some admiration. Part of the strength of the novel is that, as with the others, he can at once compare her with the gods and condemn her godlike qualities as a conceit, can at once hold up the gods on Olympus and despise them. All in all, The Return of the Native is perhaps the most representative of Hardy's thought as it gives life to Hardy's continual theme,

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[1] Since mention has been made elsewhere, but particularly here of Thomasin Yeobright, it should be said that her involvement in any discontent, dilemma, frustration, and loneliness, is of the least degree of any of the main characters. Most of her identification with these elements comes purely through her identification with the other main characters, her passive role minimizing her discontents and thus her frustrations. (Remember that such passiveness is what is remarkable about the natives; it is commendable in Hardy's view.)

> "Whatever may be the inherent good or evil of life, it is certain that men make it much worse than it need be."

VIII. Notes on Tolstoy's Resurrection:

This note is primarily concerned with the concepts of renunciation and resurrection as Tolstoy uses them in connection with his presentation of sin and loneliness. It will deal for the most part with Prince Nekhludov and what it is like for him (or any man) to be spiritually resurrected, and will, whenever possible, neglect the particulars which pertain to other aspects of the novel. We will discuss the penal system and private property, both because they play such a major role in the story and because they deal, at least indirectly, with concepts generally related to the concept of a spiritual resurrection. It is significant to note that Nekhludov's renunciation of his former way of life and its world begins early in the story and is not completed till the novel ends. Several things are implied in this, among them (1) that the decision to renounce one's way of life is not one which is made just once and for good but that it is a decision which is made over and over again; (2) that changing one's way of life is not an easy job, but one which takes time and effort; and (3) that overcoming obstacles is not what is necessary, but rather overcoming the temptation to think of them as obstacles (that is to say that what stands in Nekhludov's way are not outside influences but his own temptation either to abandon the effort or to consider his task accomplished).

Part of Nekhludov's renunciation involves his disavowal of private property. There are, of course, several reasons for his doing so. First of all, as the jury summons and duty takes the Prince back to his youth, he is once again reminded of his advocacy, in earlier years, of such a disavowal of property. What is perhaps more important, he sees the whole way of life which he wishes to renounce as being integrally related to wealth, and more particularly, wealth in the form of private property. The idea is connected with Tolstoy's later scriptural references, with such Biblical passages as "where your treasure is there will your heart be also," and with the account of the rich young man whom Jesus asks to sell all he has. Such references to Scripture (cf. Grade 7, Ancient Hebrew Religious Narrative) become important because part of Nekhludov's resurrection involves his ceasing to justify his renunciation with economic theory and coming to see it as "doing God's bidding." The whole of Nekhludov's disavowal of his property allows Tolstoy to picture the Prince in the various stages of his development: first, he sees the opinion of others as the obstacle; then he recognizes his own longing to keep what he has for memory's sake. Finally, he comes to understand the difference between his reaction and the reaction of others who consider this purely an economic affair and who, having an eye toward the consequences, think it foolish or dangerous. The Prince's comment to his driver concerning the new building serves to emphasize precisely this point: that, in ethics, consequences do not matter. When the driver says that the building will up employment, Nekhludov says that it contains no value for human life.

The renunciation itself is carried out openly as it must be if Nekhludov is to triumph over the reactions of others. His is the sort of renunciation of "the world, the flesh, and the devil," which one hears at religious service baptisms and confirmations, though it is not here considered as a religious rite. In so far as the renunciation concerns private property, it may be best described by saying that Nekhludov comes to see not so much that he has no right to property and that the peasants do as that no one has the right to consider the land theirs; the land is a gift entrusted to all men, as necessary as water and air; and each man must consider himself but a tender or steward.

The renunciation on the Prince's part produces various reactions: Katusha first reacts in anger because of the unpleasant memories which it arouses and then in suspicion in view of these memories; finally, in gratitude and concern for the Prince, she rejects his offers to her. As Katusha's reaction evolves, there occurs a corresponding change in Nekhludov as he first finds her reactions frustrating, then disturbing, and finally comes to accept them as he sees, contrary to his earlier belief, that they have no bearing on his renunciation. Others' reactions deter his effort to change only when he sees them as obstacles. When he overcomes this and sees himself as the obstacle, they no longer hinder him. The government officials react in fear, anger, and suspicion; they see Nekhludov's efforts as a threat to the system in which they hold position and, thus, as a threat to themselves. They, like the early Prince, have an eye to the results of his effort; but, unlike the Prince who ceases to be concerned with results, they continue to look at his behavior as a threat. Even the peasants react at first with suspicion--as one would expect, for they neither understand nor trust his theories--yet, they, in their simplicity and basic attachment to life itself, come to an agreement with Nekhludov in his espousal of theory, an agreement made possible in their simple discernment of truth. This same simplicity led Nekhludov in his youth to the idea of abandoning property, later led him to be amenable to the theories which he read; this same simplicity he is now seeking to regain. The very pain Nekhludov suffers following the arranging of his property is due to his perception of a simplicity in the peasants which he hopes to rediscover, a perception which leads him to see that "the answer" to the question, "How can I recover innocence?" is to be found in the peasants' attachment to life, not to theories of various sorts.

Nekhludov has his own reactions as he contemplates his attempts. Note, for instance, the change in his reaction to his attempts at his first estate and that to his attempts at his second estate. All of these reactions, his own and those of others, make his renunciation difficult. It would not make much sense to call it a renunciation were it not so. The important thing to note, however, is that the ways in which the reactions of others make decision difficult differ from the ways in which his own reactions make decision hard. The reactions of others make decision difficult by tempting Nekhludov off the track, leading him to see people as obstacles, and, thus, to see his renunciation as involving others besides himself and as involving results, consequences; his own reactions make renunciation difficult by presenting real temptations to despair or self-satisfaction. Just as others can neither help nor hinder him in his renunciation, so also they can neither help nor hinder his resurrection. If they cannot affect his creation of a void in his life through renunciation, they cannot help in the filling of that void.

The jury duty which serves to remind Nekhludov of his early ideas on private property also is the occasion by which he comes to be involved with the penal system. A great many things about this system offend him, the poor food and substandard plumbing, the maltreatment and neglect in general. But, in the main what offends him are the presumptions on the part of some that they are able to judge others and the assumption that detention will help both the criminal and society as a whole; in other words the continuance on the part of the government of a penal code which, after hundreds of years of existence, had neither halted crime nor helped society and the retention of a judicial system which allowed wrongdoers caught to be tried by people whose only difference from them was that they had not been caught. It is not just the penal system which absorbs Nekhludov's time and energy; more generally he is absorbed with the problem of the simple working class's subjection to a complex, impersonal, highly self-perpetuating bureaucracy. Ultimately, he is concerned with the problems of man's treatment of man. All of these things finally serve to mirror his own way of treating others and to pose the question as to why he treats them so.

His attention to the penal system, though originating by accident, is continued purposefully and by a renewed effort at each juncture. In his attempts to help the prisoners, he must necessarily deal with people he dislikes, and often appears foolish in the process. In his early stages, he puts up with people whom he dislikes because he is more interested in the prisoners' being helped than he is in his own image. Later, as his spiritual development advances, he ignores his own appearance because he is bent simply on doing what he believes right, a character trait which he had lost during his spiritual corruption. At first, he is more concerned with what he is doing than in how he appears doing it. Later he is more interested in why he is doing this work than he is either in what he is doing or how he appears; indeed, as he comes to see why he is doing this work, all else becomes unimportant. Nekhludov is entirely responsible for his efforts to change. He alone can make the effort; no one can help him (and no one, as he comes to see, can hinder). Furthermore, no one can understand what it is he is trying to do. Katusha does not understand at all in the beginning, and only comes to see that her mistrust is unwarranted as she sees that he is trying to help her; and even then Nekhludov has gone past the point of being concerned with doing what he does purely for the sake of others and has come to see that he must do what he does for reasons other than the welfare of others. So Katusha, even having put away her doubts, still does not understand. And certainly neither the politicians nor the bureaucrats nor his former friends understand. This sets the Prince apart from others: they do not understand what he is doing or why and he cannot understand why they live as they do. His former acquaintances seem strange to him, he avoids them; and, whenever he must meet them, the relationship is strained. What the Prince sees in them repulses him. This attitude is most prevalent while he still views them as in some way connected with or important to his renunciation. As he finds this not to be the case, his repulsion turns to sorrow and compassion for them; and, when he feels sorrow and compassion, he is even more separated. Before, he was like his friends in being indignant over and afraid of differences between himself and others; now what he finds repulsive in others reminds him of his own corruption, and he comes to feel compassion. In his various states of alienation from others he finds a strange camaraderie with the prisoners and particularly with the political prisoners. In general, what attracts him to them all is their simplicity and their uncomplicated way of life, a way of life which doesn't require rational or systematic justification at each step. Their lack of complication makes them capable of being very good or very bad, but it makes them, at least, not cogs in a system. He admires the politicals' dedication, a dedication which involves their whole life based not on a complicated rationale but on simple belief. It is the few exceptions to this that he finds most ugly, most like the people in the world that he has renounced.

Nekhludov, while he is with the prisoners, has a brief encounter with a man which should be noted well; for it dramatizes Tolstoy's understanding of renunciation and resurrection, of what it is like to be a Christian. Nekhludov, having been refused in his offer of money, asks the old man's forgiveness, and the old man answers strangely, "There is nothing to forgive. You haven't offended me, and nobody can offend me . . . They can't do me any harm because I am a free man." These comments must be understood in the light of the old man's comment that he is led by God. The old man is free from dependence on others, for what guides his life is his relationship with God, for which he is not dependent on others (cf. the Pauline epistles). Nothing anyone can do to him can affect him "where he lives." Nothing they do can be offensive. If anything alters this relationship, he will be that "thing"; thus, others are not the enemy against whom he must defend his relationship but, rather, he himself is the only enemy. His temptation is, of course, to look to others, to forget that he is the one who needs watching, who needs to be controlled. There is in all of this an obvious connection with the Prince who is coming to this stand himself; that the episode falls so near the end of the story accentuates the connection.

Many of the incidents or passages in Resurrection have scriptural reference. None of these so far has been direct; we had to look for them. There are places, however, in which Tolstoy makes direct reference to scripture and religious practice. It is not the purpose here to deal with Tolstoy's comments on the practices of his day except to say that Tolstoy is trying to distinguish religion from superstition. Whether all of the practices which he condemns are superstitious or not is not for this note to say. However, by pointing out what is superstitious in religious practice, Tolstoy can get to the heart of religion itself without spending time on the periphery.

Note that the first place Nekhludov goes to find answers to his questions is to books on political and economic history; that is, to the social science of his day. Seeing that these will not help him, he turns from one source to another. But social science, pledge as it might to aid him, could not within its own province properly answer the questions he was asking--no more did science, as a whole, answer the great religious questions than did psychology answer the mathematical questions. Finally, Nekhludov turns to scripture, but only after he has come to see that what is important in his life is his relationship with God. Thus it is that, when he turns to scripture and the Sermon on the Mount, he regards the sentences there as God's commands--not principles, not laws, not the basis of systems, but pure and simple commands which have to do with the way he leads his life.

There is, of course, a great difference between Nekhludov who now sees religion as a matter of leading his life at the will of God as expressed by Jesus and his former acquaintances who thought of it as a set of principles of which they either approved or disapproved; this difference is still another way in which Nekhludov is set apart from other men. Thus when the Prince finally says, "One task is completed and another is ready to my hand," the words are charged. Nekhludov had completed his task of renunciation; and, like the biblical figure who ridded the house of demons, Nekhludov needed to fill himself. This he did in coming to see that he, like the old man he met, was to be led by God; that all he did was to be seen in a new light as having meaning because of this new relationship. The life he formerly considered his and his to do with as he pleased, he now saw as a gift to be used as God commanded. All of this is involved in his using the term "tasks," for it is an effort that is required, an effort to renounce what he did and an effort to obey commands. This indeed is the "task" at hand: to continue daily in obedience, to renew at every moment the decision to do God's will. All of this is summed up in Tolstoy's reference to the husbandmen; Nekhludov who once thought the world and his life in it were his has come to see both as God's. This realization has given meaning to his renunciation, to his efforts on behalf of the prisoners, to his ofttimes foolish appearance, and to the new life he is leading.

Finally he comes to see these answers as simple--not that life is not difficult, but that it is not complicated. And the whole story of Nekhludov--all the side stories, the presentation of Tolstoy's version of the Christian concept of sin (in which man is always a sinner and his sin is found in moving away at any or every step from the realization which the Prince comes to) and the "task"--all of this leads to a statement of Tolstoy's, which appears in War and Peace:

> "For us with the rules of right and wrong given us by Christ there is nothing for which we have no standard; and there is no greatness where there is not simplicity, goodness, and truth."

That is the meaning of Resurrection.

(4)

A CURRICULUM FOR ENGLISH

Teacher Packet

TRAGEDY

Grade 10

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Experimental Materials
Nebraska Curriculum Development Center

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I. Core Texts:

Sophocles, Oedipus The King (New York: Washington Square Press, 1959).

*Seneca, Oedipus (New York: Bobbs-Merrill Co., The Library of Liberal Arts Edition, 1955).

Christopher Marlowe, Doctor Faustus (New York: Washington Square Press, Folger Library General Reader's Edition, 1959).

J. M. Synge, Riders to the Sea available in Harrison H. Schaff (ed.), Three Irish Plays (Boston: Bruce Humphries Co.).

*Arthur Miller, Death of a Salesman (New York: Viking Press, Compass Books C-32, 1958).

The Book of Job,

II. Overview:

This unit serves as a companion to the ninth grade unit on comedy. Before students start this unit, they should be urged to review what they have learned about the three kinds of stage machines in the ninth grade unit The Idea of a Play. This unit also tends to be related to all the previous themes the students have studied in the tenth grade (Man's Picture of Nature, The Leader and the Group, and Sin and Loneliness). The students will be able to deal much more effectively with this unit if they recall what was stressed in those packets. Miller's play, if it is studied, will introduce them to the study of American Materialism that they will make in the eleventh grade. The unit as a whole snould prepare students for the study of Shakespearean tragedy in the twelfth grade.

III. General Introduction:

The immediate objective of this unit is to acquaint the students with three individual tragedies in detail. The students will profit more from a close textual study of these plays than from a general study of the nature of tragedy. Any discussion of the family of meanings attached to the word 'tragedy' should be avoided until students have read all the plays, and then it should come from the students themselves. Such terms as "the tragic hero," "the tragic flaw," "pity and fear," etc., should be totally avoided. Their use often results in a student's becoming adept at using terms without learning how to read or understand. The students should discuss (re-enact, re-create, paint, picture, dance out, or whatever) the plays in their own words. At the end, they should be able to arrive at an understanding of individual tragedies.

The composition and creative topics at the end of the Student Packet are designed to make the students look tragedy 'straight in the face.' From student work on these topics the teacher should be able to judge how the students have responded to the unit as a whole.

Supplementary plays are suggested in the Student Packet; students may wish to read these outside class or as part of class workshop and discussion activities. Reading and study questions are provided for these plays. The students should be urged to read at least one supplementary play in each period.

* These books are optional, but teachers may wish to include them as part of the regular class time study for every student who takes up the unit; other supplementary pieces are designed for individualized reading.

IV. Bibliography

A. General Background:

Brooks, Cleanth (ed.). *Tragic Themes in Western Literature* (New Haven: Yale University Press, 1955. Paperback, 1960).

Farnham, Willard. *The Medieval Heritage of Elizabethan Tragedy* (Berkeley: University of California Press, 1936).

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V. ANCIENT TRAGEDY

A. Oedipus the King, Sophocles

1. Teaching Procedure:

The Student Packet provides reading and study questions, discussion questions, and composition and 'creative' topics. These have been prepared in an order progressively more difficult. The questions build on one another so it is important that they be covered at some level. The teacher has to decide when he will move question by question; when student notes, creative activities, and discussions obviate the need to refer to questions; and when response and understanding are destroyed by reference to questions.

Before reading the play itself, the class should be assigned the introduction in the Knox translation which provides them with the Oedipus legend. They should know the legend before reading the play as the play draws on the audience's knowledge of the legend for dramatic shock and ironic effect. (Knox also provides the class with some background on Greek drama -- a review of the classical section of the 9th grade study of "The Idea of a Play".)

Before discussing Oedipus, the teacher should make certain that students are clear about the order and nature of the events in it. They should be able to demonstrate or explain how the events of the play flow from one another -- how 'suspense' develops in it. If they seem unclear about this, they might be asked to outline the action.

2. General Aids:

For background on Greek drama the teacher should read the introduction to the Knox translation and consult the bibliography provided at the beginning of this packet. The information which follows is provided so the teacher can direct the class in discussing the play and in doing creative acting and 'depicting' of the significance of the play. The information _should not under any circumstances be delivered to the students as a lecture_.

THE GODS AND RELIGION:

Students should come to understand the type of 'universe' the play is operating in to arrive at a satisfactory interpretation of the tragedy; they should be ready to imagine this dimension of the play from their study of an earlier unit (_Man's Picture of Nature_, Grade 10). _Oedipus the King_ is in a sense one age's -- one man's -- vision of the universe and of man's place in it. The action of the play becomes a 'demonstration' of the existence of a divine order, a picture of the limitations of man in this order and of his capacity for knowing himself and the order. The catastrophe of the play is Oedipus' discovery of his own identity; when he knows who he is, he knows his limitations -- limitations imposed on all human beings. For the discovery of who he is, Oedipus _alone_ is responsible; and it is only in the context of a divinely ordered universe that the discovery can be meaningful.

From the very beginning of the play one senses that there is a clash between the human and divine. In both visual and verbal terms the opening of the play suggests that Oedipus is regarded and regards himself as "equal to the gods." When the priest first speaks to Oedipus he addresses him with, "Oedipus of Thebes you see us here at _your altar_..." (p. 2). The people of Thebes have come in supplication, but "your altar" obscures to whom they are praying. In addition Oedipus' stance seems something more than human: "I did not think it right, my children, to hear reports of this from others. Here I am myself, world-famous Oedipus" (p. 2). At the end of the scene, when Oedipus has resolved to act, he dismisses the supplicants in a manner that suggests it is only his help they are seeking. Thus the first scene raises the question of Oedipus' relation to the gods and what he thinks this relationship is.

So far the problem is only implicit in the words and actions of the characters, but it becomes explicit when the priest states the orthodox view:

> It is not because we regard you as equal to the
> gods that we sit here in supplication, these
> children and I; in our judgement you are first
> of men, both in the normal crises of human life
> and in relations with the gods. (p. 3)

Not "equal to the gods" but "first of men." The rest of the play is, in a sense, Oedipus' attempt to disprove this statement. But the action of the play, instead of disproving, reaffirms this view of the universe and man's place in it. From this point on, this problem of the nature of the universe is constantly present in the play.

At the opening of the play Oedipus appears to be the model of a pious man. He is not overtly 'Polyphemus' or 'the suitors' in his stance toward the gods and the oracles. He has already sent Creon to the Oracle of Delphi. He has sent twice for Tiresias, the priest of Apollo. But there are hints from the very beginning that Oedipus is not orthodox, that he relies on man rather than on the gods. This becomes more and more apparent as the play moves forward.

To Creon's report from the oracle Oedipus replies, "You have done well, Creon, and Apollo has too..."(p. 10). The effect of the rhetoric is to make Creon and Apollo appear equal and to place Oedipus over them both. The emphasis throughout this first exchange with Creon and the chorus is on "I" (on what "I" shall do, not on what the gods will do). The first choral ode (pp. 11-13) elaborates on the plight of the city, but it also brings the emphasis back to the gods. The chorus pleads with the gods to save Thebes. Oedipus' reaction to their prayers is: "You are praying. As for your prayers, if you are willing to hear and accept what I say now...you will find rescue and relief from distress" (p. 14). Look not to the gods but to man. This first scene also gives some indication of what Oedipus' real feelings are. In speaking of the murder of Laius he says, "But *chance* swooped down on his life" (p. 16). Later Oedipus will assert that it is Chance that rules the universe.

In his exchange with Tiresias, Oedipus' opinions become even more apparent. He approaches Tiresias as a pious man, but angered by the silence of Tiresias, he is quick to repudiate the old man's power of prophecy. When Tiresias does speak he angers Oedipus even further, and now Oedipus expresses his opinion of all prophecy. To make his point Oedipus cites an example from his own life--the riddle of the Sphinx:

> That riddle was not for anyone who came along to answer it--it called for prophetic insight. But you didn't come forward, you offered no answer told you by the birds or the gods. No. I came, know-nothing Oedipus, I stopped the Sphinx. I answered the riddle with my own intelligence--the birds had nothing to teach me (p. 27).

This constitutes a denial of the validity of all prophecy, a denial of the foundations of Greek religion. It is the exact opposite of the opinion expressed earlier by the priest:

> You came to us once and liberated our city, you freed us from the tribute which we paid that cruel singer, the Sphinx. You did this with no extra knowledge you got from us, you had no training for the task, but, so it is said and we believe, *it was with divine support* that you restored our city to life (p. 3).

So Oedipus is Polyphemus? If Oedipus has denied the gods, he has also asserted the power of man. Man can control his universe and be master of his own destiny. It is intelligence that will allow him to do this. The riddle of the Sphinx itself asserts this. The answer to the riddle is man, and the answer is arrived at without help from "the birds." This was the answer that brought Oedipus to his present power and glory. It is an answer that will be 'proved' wrong in the course of the play--man will not be found "equal to the gods."

Jocasta shares Oedipus' opinion of prophecy; but she refuses to see the implications of the opinion she holds:

> There is no human being born that is endowed with prophetic power. I can prove it to you--and in a few words...Don't pay any

> attention to prophecies. If God seeks
> or needs anything, he will make it clear to
> us himself (p. 50).

Jocasta holds fast to the gods, but ironically she has inverted their position. It is man who seeks and needs things from the gods, not the gods who seek or need things from man.

If Jocasta cannot see the implications of her opinion the chorus can, and in a choral ode (pp. 60-61) they call on the gods to fulfill the prophecies--to prove that it is not a meaningless universe. "If such deeds as this are honored," says the chorus, "why should we join the sacred dance and worship?" (p. 61). Greek drama originally functioned as a form of religious worship, and the choral dance and song were part of this worship. What the chorus is saying is that if the oracles are not true, then the very performance of tragedy has no meaning, for it is itself a form of worship of the gods. The validity of the play itself is thus tied to the nature of the universe.

Oedipus cannot share the confidence of Jocasta, however, for there is still the possibility that the prophecy about himself could come true. His actions are all directed toward avoiding the fulfillment of the prophecy. This very attempt is itself a denial of the validity of prophecy, and of the gods. When the Corinthian Messenger arrives with the news of Polybus' death Oedipus gains confidence, but he still must fear because his mother lives. Jocasta now attempts to remove this last fear with a statement in which she rejects all fear, providence, and any sort of order or plan in the universe. It is Chance that rules the universe and man lives blindly and at random. Her speech recognizes and accepts a meaningless universe:

> Fear? Why should man fear? His life is governed
> by the operation of chance. Nothing can be clearly
> foreseen. The best way to live is by hit and
> miss, as best you can (p.67).

Ironically Oedipus arrives at Jocasta's exaltation at the very time she has seen the truth. There is no stopping him now. He is certain that man can shape his own destiny and be "equal to the gods."

> But I count myself the son of Good Chance,
> the giver of success--I shall not be dishonored
> ...I will not give up the search for the
> truth about my birth (p. 79).

The choral ode that follows (pp. 79-80) echoes this exaltation and builds up for the dramatic shock which immediately follows when Oedipus learns his true identity.

In the last scene, when Oedipus appears blind and with the knowledge of his true origin, we see him accept the universe as the priest explained it in the opening scene: Not "equal to the gods" but "first of men." In this last scene it is Oedipus who demands that Thebes follow the command of the gods and expell him. Creon, who at the beginning of the play was so anxious to please Apollo, is now reluctant and insists on consulting the gods again. The play has come full circle.

FOREKNOWLEDGE AND FREEWILL:

The problem of freewill in Oedipus The King may prove very difficult for the students. This question should first be discussed only in relation to the play; the general discussion of foreknowledge and freewill which may come requires skill, tact, and a sense of the differences between similar philosophic positions. Students should begin with the play itself and determine how freewill is able to operate in it.before they turn out from it to see it as a mirror of life.

To understand the full meaning of the play the students must see that Oedipus' will is absolutely free and that he is fully responsible for the catastrophe *in the play*. As Knox reminds us, the catastrophe of the play is Oedipus' discovery of his true identity, and the action of the play is *not* Oedipus' fulfillment of the prophecy about himself, but his discovery that he has already fulfilled it. Before the play opens Oedipus has fulfilled the prophecies and fate plays no part in the events of the play. None of what takes place *in the play itself* is predicted--not the curse and threat of banishment for the murderer of Laius, Oedipus' discovery of his own identity, Jocasta's suicide, nor Oedipus' act of self-blinding. The students should be able to see that the structure of the play itself, the device of *in medias res* (starting in the middle of things), precludes fate's having a role *in the events of the play*. At least, that is how we read the play. Any other reading requires equally thorough explanation of the part which is not predicted--how that can be taken as fated.

The class should also be able to explain how Oedipus exercises his freewill in the play. Oedipus not only acts as a free agent, but his decisions and actions in the play function as the causal factor in the plot of the tragedy. His first action, sending Creon tb the Ovacle of Delphi, which takes place before the play begins, initiates the chain of events which constitutes the plot of the play. The plot is very simply the process by which Oedipus' true identity is revealed. With one exception (the arrival of the Messenger from Corinth) the events of the play flow from one another--they bear a cause-and-effect relationship to one another. And it is Oedipus himself who puts this sequence of events into motion and keeps it moving throughout the play.

When Creon returns from the oracle, Oedipus demands that he give the news publicly. Oedipus then assumes full responsibility for the search for the murderer of Laius and curses the unknown murderer, demanding that he be banished from Thebes and shunned by all men. The curse is clearly Oedipus' own idea, and his determination to search out the murderer and carry out the threats he has uttered is proclaimed an act of freewill by the chorus. To Oedipus' statement, "I shall leave nothing undone," (p. 10) the priest replies, "King Oedipus has *volunteered* to do what we came to ask" (p. 11). This is one of the great ironies of the play. Oedipus by an act of his own freewill has "predicted" his own fate, and by acting as a free agent through the rest of the play he brings this "prediction" to fulfillment. He has cursed himself, and for the situation he finds himself in at the end of the play he alone is responsible.

In the exchange with Tiresias, Oedipus further demonstrates that he acts as a free agent. He refuses to accept the stubborn insistence of Tiresias that the whole matter be dropped. Oedipus' subsequent attack on Tiresias as a traitor to the state brings a prediction from the old man:

> The double-edged curse of your mother and father, moving on dread feet, shall one day drive you from this land. You see straight now but then you will see darkness. You will scream aloud on that day; there is no place which shall not hear you, no part of Mount

> Cithaeron here which will not ring in echo,
> on that day when you know the truth about
> your wedding, that evil harbor into which
> you sailed before a fair wind. There is no
> man alive whose ruin will be more pitiful
> than yours(pp. 28-29)

This appears to be a prediction that Oedipus will discover his true identity and will blind himself. It is this, but it is also a further demonstration of Oedipus' freewill as the causal factor in the play. Tiresias delivers this speech only as a result of Oedipus' action in the first place. He had determined not to speak, but he forgets his resolution to keep quiet when Oedipus attacks him so violently. Oedipus has extracted the prophecy from him, and Tiresias lays full responsibility for it on Oedipus: "You did. I was unwilling to speak but you drove me to it" (p. 23). The prophecy itself does not seem to us to function causally; it functions in much the same fashion as the curse given by Oedipus. They are both brought to fulfillment by the actions of Oedipus as a free agent.

Throughout the rest of the play people attempt to prevent Oedipus from pursuing the search--the search which has now turned into a search for his own identity. The Corinthian Messenger, Jocasta, and finally the Shepherd all try to make Oedipus drop the matter. But he is resolute: "Burst out what will! I shall know my origin..." (p.79). His manner throughout the play shows that the discovery of his true identity is his responsibility. The self-blinding and the suicide of Jocasta are proclaimed acts of freewill within the play itself by the Messenger: "And it will soon expose them to the light of day--horrors deliberately willed, not involuntary. Those calamities we inflict on ourselves are those which cause the most pain" (p. 91).

Earlier we said that the play is a reassertion of the existence of a divinely ordered universe--that man is not "equal to the gods" and thus is not master of the universe or of his own fate. We have also said that Oedipus is completely responsible for what happens in the play, that his fate at the end of the play is arrived at by his actions as a free agent. This is not contradictory. Fate (in the sense of the will of the gods functioning as causation) is not an active factor in the events of the play, but it is the fundamental problem posed by Oedipus' life as a whole. Oedipus is free to discover or not discover that his predicted fate has already been fulfilled. The situation he finds himself in at the end of the play was not predicted, and ironically it is of his own making.

The search for self that Oedipus carries out in the play is symbolic. In the last analysis it amounts to the question, "What is Man?" The play defines Man as a limited creature. Oedipus, who thought he could defy the oracle, becomes an example of the truth of the oracle--a living demonstration. Throughout the play Oedipus thinks he has knowledge, trusts in his own intelligence, and acts with certainty. The irony of Oedipus' opinion of himself--of man--is emphasized throughout the play with images of "sight" and "blindness." The end of the play, when Oedipus puts out his eyes, is symbolic of his having arrived at true knowledge--at the true definition of man. He finds out that only the gods have full, complete knowledge, and that only the gods can act with certainty, not men. True knowledge, justice, and certainty are what distinguish gods from men. Divine omniscience, which is represented in the play by the oracle of Apollo (wisdom, light, health, prophecy) is reasserted. In the last scane, in a statement which asserts his own freewill, Oedipus defines the relationship between the events of the play and the oracle:

> It was Apollo, friends, Apollo, who brought
> to fulfillment all my suffering. But the
> hand that struck my eyes was mine and mine
> alone.(p. 96).

There is no cause and effect relationship asserted here. The oracle is fulfilled in conjunction with the operation of freewill in Oedipus before the play opens, but the discovery of the fulfillment of the oracle's prophecy ("the hand that struck..." being symbolic for the discovery) is accomplished by Oedipus alone.

The presence of the oracle in the play is what gives the tragedy its meaning. To present Oedipus' parricide and incest as nothing more than a series of coincidents which are inexplicable in any terms outside themselves would be monstrous. It is only in the context of a divinely ordered universe that the tragedy can have any meaning. It is the existence of the prophecy which makes the truth bearable.

THE CHARACTER OF OEDIPUS:

In discussing the character of the hero the students must be kept from "tragic fault-finding." The "tragic flaw" as presently and popularly understood is not relevant to Oedipus The King; it were best left alone--like all teaching chestnuts. Oedipus stands as a representative of all mankind. The images of the play (helmsman, ploughman, hunter, inventer, legislator, physican, enquirer, mathematican, savior, etc.) define him as something symbolic of human achievement and intelligence at its best. Oedipus' discovery of his own identity is also a discovery of the true identity of man. To take the view that Oedipus is a hero who fails through his own "tragic flaw" is to obscure the real issue of the play, and to suggest that what happens to Oedipus can be explained in terms of human ethics. Oedipus' catastrophe cannot be attributed to any simplistic moral 'fault.'

Oedipus should be characterized as a proud man, but the students will perhaps wish to attribute to him the fault of pride. It should be pointed out to the class that the hero is necessarily a proud man because of his stature. The pride itself (if it does not turn to arrogance or corrupt) is justified. The constant reference to "I" in the speeches of Oedipus is an indication of his pride and reliance on himself. But it also has a broader function in the play as a whole--it points out again and again that Oedipus acts as a free agent.

Essentially Oedipus is a man of action. He has already begun his action against the plague in Thebes before the play opens (dispatching Creon to the oracle and sending for Tiresias). When he is able to act he acts swiftly and with certainty. His confidence in action is based on past experience, as is his relaince on his own intelligence. It was his intelligence and action that saved the city in the past from the Sphinx. Oedipus' action is accompanied by remarkable courage. He is always willing to bear the consequences of the action he takes, and he makes himself alone responsible for the necessary measures.

The characteristic mood displayed by Oedipus throughout the play is that of impatience, impatience at the slowness of others. He can let no obstacle stand in the way of his decision to act. At the opening of the play we see him impatient that Creon has not yet returned from the oracle and that Tiresias has not answered his summons. It is displayed again in his questioning of both Tiresias and Creon, and when Oedipus feels he is being thwarted in his attempt to act, his impatience turns to anger. The impatience is shown again and again as he questions people throughout the play, and becomes more pronounced as he moves toward the final discovery. But Oedipus is not thoughtless in this demand for speed. It is preceded by careful, though rapid, deliberation and reflection. His mind cuts swiftly and logically through problems, and insists on complete clarity and knowledge. It is this very rationality, this demand for full understanding, that brings Oedipus into conflict with the divine. It is this critical intelligence that insists on self discovery, and thus brings on the catastrophe.

As a ruler Oedipus is admirable. He does not hold himself aloof from his subjects, but comes to hear their complaints in person. He has a sense of responsibility to his people which resembles the feeling of a father for his children. The pain and suffering Oedipus feels when the play opens is for his people:

> Your pain torments each one of you, alone,
> by himself--but my spirit within me mourns
> for the city, myself, and all of you...I
> have wept many tears, as you must know, and
> in my ceaseless reflection I have followed
> many paths of thought. (p. 4)

It is to save Thebes and its people that Oedipus initiates and carries out the search which will end in catastrophe for himself.

Oedipus' devotion to the welfare of the city and his sense of responsibility to his people is contrasted throughout the play to the attitude of Creon. In Creon's reluctance to reveal the oracle's message before the people of Thebes there is a note of contempt: "If you wish to hear my report in the presence of these people I am ready. Or shall we go inside?" (p. 6) Oedipus rejects Creon's attempt at crafty statesmanship with, "Speak out, before all of us. The sorrows of my people here mean more to me than any fear I may have for my own life" (p.6). At the end of his exchange with Creon on the message of the oracle, Oedipus states the principle on which he bases his action both as a ruler and as an individual: "And the noblest of labors is for a man to help his fellow men with all he has and can do" (p. 20). It is this concept of duty that moves Oedipus throughout the play.

The anger Oedipus displays toward Tiresias and then toward Creon is a direct outgrowth of his sense of responsibility for the city and its citizens. He asserts that Tiresias has a duty to speak, to make known anything that might save the city, and he rebukes him for his silence on these grounds: "You know something? And will not speak? You intend to betray us, do you, and wreck the state?" (p. 21). Oedipus is quick to suspect a plot for the same reasons. Why was nothing done at the time of Laius' murder? He reasons that Laius was assassinated as part of a political intrigue, an intrigue which was upset by his own arrival in Thebes. The logical person to suspect is Creon. Oedipus is wrong, but the defense that Creon presents for himself is sophisticated argument, not sincerity. The manner in which he defends himself is an example of the very reason Oedipus distrusts him.

Oedipus' 'democratic' spirit, his devotion to the people of Thebes, is further demonstrated when he yields to the chorus' plea that Creon be spared. He yields out of respect for the people even though he believes that in doing so he is endangering his own life and possible the existence of the state itself.

Oedipus' reappearance in the last scene of the play, after the truth has been revealed, is a terrible spectacle. The chorus and the audience assume that the blinded and self-knowing hero's action has been a a hollow mockery. But it is in this final scene that we witness the true greatness of Oedipus. He not only surmounts the catastrophe and reasserts himself, but he triumphs in his defeat. The character of Oedipus in the final scene of the play reasserts the value of human life.

When the blinded Oedipus appears the chorus cries out:

> You have done a dreadful thing. How could
> you bring yourself to put out the light of
> your eyes? What superhuman power urged
> you on? (p. 97)

But Oedipus rejects their suggestion that the responsibility was not his own: "But the hand that struck my eyes was mine and mine alone." The search and the final discovery are Oedipus' responsibility, and in the last scene he bears the consequences heroically. For the curse that he ironically imposed upon himself at the beginning of the play, Oedipus also accepts the consequences and demands that it be carried out immediately. When Creon is reluctant the old impatience and anger flare up. Indeed, the old Oedipus is so much in evidence in this final scene that Creon has to say, "Don't try to be master in everything. What you once won and held did not stay with you all your life long? (p. 107).

The action of the play reasserts the existence of a divinely ordered universe and demonstrates that man is not "equal to the gods." But the character of Oedipus, with the recovery he makes in the final scene of the play, shows the greatness of man within the limits imposed by this universe. These two themes--the greatness of the gods and the greatness of man--combine in the final scene of the play to demonstrate that one does not exclude the other.

IRONY:

Dryden once said that Greek audiences, since they knew the stories of their plays before they saw them sat with 'yawning expectation." However, the knowledge the audience possesses of the Oedipus legend provides the play with its most powerful ironic effects. Almost every speech given in the play means much more to the audience than it does to the speaker. For example, when Oedipus curses the murderer of Laius, the audience knows that he is cursing himself. What he then goes on to say about Laius is devastating in its unconscious irony:

> But now I am in command. I hold the office he
> once held, the wife who once was his is now mine,
> the mother of my children. Laius and I would be
> clearly connected by children from the same wife,
> if his line had not met with disaster. But chance
> swooped down on his life. So I shall fight for
> him, as if he were my own father (p. 16).

Again, when the Corinthian Messenger arrives he announces that he brings "good news," but the audience is already aware of the nature of the news he bears. This type of unconscious irony is present throughout the play.

The manner in which certain characters are presented in the play also functions ironically because of the knowledge of the audience. Oedipus is tyrannos of Thebes, the outsider who came to power. The irony of the title as applied to Oedipus is that he is also the legitimate king by birth, for he is the son of Laius. Jocasta makes her first entrance nagging and scolding Oedipus in a way which suggests "mother" rather than "wife." The introduction the chorus gives to Jocasta carries the same ironic overtones: "This lady is his queen, his wife and mother of his children" (p. 63).

Irony is also conveyed by the structure of the play itself. The greatest structural irony of the play is the speech given by Oedipus on page 79:

> Burst out what will! I shall know my origin,
> mean though it be. Jocasta perhaps--she is
> proud, like a woman--feels shame at the low
> circumstances of my birth. But I count myself
> the son of Good Chance, the giver of success--
> I shall not be dishonored. Chance is my mother.
> My brothers are the months which have made me
> sometimes small and sometimes great. Such is
> my lineage and I shall not betray it. I will
> not give up my search for the truth about my
> birth.

In this speech Oedipus reaches the height of his confidence. Ironically it is at this very time that he should be able to see the truth clearly, as Jocasta has seen it. The choral ode which follows echoes Oedipus' exaltation. But the exaltation is immediately followed by the discovery of the real truth. The effect of this structure is to make the final discovery more shocking, more of a fall or reversal, more ironic.

The movement of the play consitutes the reversal of the fortunes of Oedipus. He moves from tyrannos or king of Thebes to subject, from sight to blindness (both literally and figuratively), from a high opinion of his knowledge (which is really ignorance) to acknowledgement of his ignorance (which is real knowledge), from the state of wealth to beggar, from the most respected and honored man in Thebes to the most despicable. The images of the play create powerful symbolic patterns which echo or parallel both the action of the play and this reversal of the hero. (See the introduction to Oedipus The King in the Student Packet). Oedipus is presented to us at the opening of the play as the mathematician, the equator; he becomes in the course of the play the thing equated, the equation itself (the relation between Man and the gods). He is identified as the doctor and the savior, and he turns out to be the disease itself, the thing Thebes must be saved from. He is the hunter, but he is also unknowingly the prey. He is the man of sight, but it is he who is really the blind man, not Tiresias. His name ("Swollen-foot") is mockingly repeated throughout the play, and this repetition recalls the real identity of Oedipus. The students should be able to pick these images out, and carefully analyze the effect they produce for the play as a whole.

THE CHORUS:

Throughout the play the chorus and the priest, who functions as its spokesman, present the viewpoint that the audience ought to take. Their view of the universe is orthodox, and it is this view which is reaffirmed by the play itself. They also present the proper view of Oedipus and show how his actions ought to be interpreted. When Oedipus denies the Parodox view of the universe, the chorus can no longer agree with him. They do, however, remain sympathetic to him throughout the play, and they are caught up in his exaltation before the final discovery, as is the audience.

The chorus also functions to dramatize things in the play that cannot be carried effectively by individual actors. Their first ode demonstrates the real plight of the city as seen through the eyes of the citizens. Their second ode displays the moderation that Oedipus has lost in his anger. In the third ode the chorus rejects the opinion of Oedipus and Jocasta on prophecy, and in doing so dramatizes the real meaning of the play. Their fourth ode is exaltation over the greatness of man. It is unreasonable exaltation, but it also functions to emphasize the sympathy the audience should have with Oedipus. The last ode of the chorus swings to the opposite extreme, equating man with zero. It is now Oedipus who restores moderation. His actions in the final scene of the play demonstrate the true greatness of man within the limits imposed on him by the divinely ordered universe.

3. Supplementary Questions on Oedipus The King:

The following questions should be used only if those provided in the Student Packet are too difficult for the class. TRY THE QUESTIONS IN THE STURENT PACKET FIRST! If the class has trouble with the questions in the Student Packet, they should do these questions first, and then RETURN to the questions in the Student Packet.

I. Plot Questions-

1. In the beginning, what clues do we get to Oedipus' character? Make a list of additional character traits as they appear in the course of the play.
2. What does the priest tell of present conditions in the city? What does the first choral ode add to this? What kind of leader does the situation call for?
3. Of what importance is Oedipus' decision to have Creon give the oracle's reply in public?
4. How is Creon related to Oedipus? What kind of position does he hold in Thebes?
5. According to Creon's report from the oracle, what is the cause of Thebes' misfortune?
6. Upon what gods does the chorus call in its prayer for help? What is Oedipus' reaction to this prayer?
7. What form of punishment does Oedipus set for the murderer of Laius?
8. Why does Oedipus suspect Tiresias and Creon of a plot?
9. What is Oedipus' chief reaction to the news of Polybus' death? Why does he react this way?
10. How does Oedipus interpret Jocasta's reluctance for him to learn his true identity?
11. What is the significance of the final warning Creon gives to Oedipus? How has the old Oedipus returned in the final scene of the play?
12. What moral does the chorus draw from the story of Oedipus at the end of the play? Are they right?

II. Essay and Discussion Topics:

1. Why is it important to know the legend before the play begins?
2. What does Jocasta's speech on page 50 reveal about her attitude toward religion? Compare it to Oedipus' speech on pages 66-67. How are they similar?
3. When does Oedipus turn from interest in finding the murderer of Laius to finding out his own true identity? What device in the plot of the play occasions this change?

4. Take down all the references to sight and blindness in the play. How do these refer to spiritual or intellectual sight and blindness? How do they relate to the interpretation of the play?
5. Take notes on each of the prophecies and put down exactly what is predicted about Oedipus' life. What in the play is not predicted about Oedipus? Does this suggest anything about the operation of freewill in the play?

4. Audio-Visual Aids:

The four films listed below can be secured from the Bureau of Audio-Visual Instruction, Extension Division, University of Nebraska, or other sources of audio-visual materials.

AGE OF SOPHOCLES:

Professor Bernard Knox of Yale University provides background material for the study of the play. He discusses the people, the country, the gods, and the theatre. The film outlines briefly the story of Oedipus.

THE CHARACTER OF OEDIPUS:

This film deals with Oedipus' determined efforts to discover Laius' murderer, and his discovery that he is not only the murderer, but also the son of Laius.

MAN AND GOD:

This film deals with Oedipus' passage from disbelief in prophecy and in the power of the gods to his discovery that the prophecy has come true.

RECOVERY OF OEDIPUS:

In this film the importance of truth is emphasized. Through blindness Oedipus finds knowledge. It likens his search to the search of mankind.

B. The Book of Job

The following excerpts from A. B. Davidson's *The Book of Job with Notes, Introduction and Appendix* (Cambridge, 1889) will provide a discussion of some of the major problems raised by the Book of Job and some possible solutions to those problems. This material is intended for the teacher, not the students.

Under the enquiry as to the nature of the composition [of Job], two questions may be embraced: (1) the question, Is the Book historical, or is it a pure creation of the mind of the writer? and (2) the question, To what class of literature does the Poem belong? may we call it a drama, or assign it to any understood class of writing?

On the former question various opinions have prevailed and are still entertained. (1) The Book has been considered by some to be strictly historical, both in the narrative and poetical portions. (2) Others have maintained a view directly opposed, regarding the work as wholly unhistorical and in all its parts a creation of the Poet's mind, and written with a didactic purpose. (3) And a third class assumes a middle position between these two extremes, considering that, though mainly a creation of the author's own mind, the Poem reposes on a historical tradition, which the writer adopted as suitable for his moral purpose, and the outline of which he has preserved.

Among the Jews in early times the Book appears to have been considered strictly historical. This was probably the opinion of Josephus, who, though he does not quote Job in any of his works, appears to embrace it among the thirteen prophetical books forming one division of his Canon. The same was the generally received opinion among the Rabbinical writers. There were exceptions, however, even anterior to the age of the Talmud. A certain Rabbi Resh Lakish sitting in the school before Samuel bar Nachmani gave expression to the opinion that "a Job existed not, and was not created; he is a parable." To this Bar Nachmani replied, "Saith not the scripture, There was a man in the land of Uz, whose name was Job?" Resh Lakish answered, "But how is it then with that place 2 Sam. xii. 3, The poor man had nothing, save one little ewe-lamb which he had bought, &c.? What is that but a common similitude? and so Job is a simple parable." Bar Nachmani could but reply that not only the name of Job but that of his country was mentioned, an answer that probably did not go far to convince his opponent. Resh Lakish was most likely not alone in his opinion, though his view appears to have given scandal to others....The historical existence of Job appears thus to have been to some extent an open question among the Jewish scholars, though probably up to recent times the belief that the Book was strictly historical continued to be the prevailing one.

The same appears to have been the general view of Christian writers up till the time of the Reformation, when Luther with his usual freedom and sound instincts expressed another opinion. The Reformer was far from denying the existence of Job himself, nor did he doubt that there was history in the Book; it was history, however, poetically idealised. In his Table-talk he expresses himself to that effect: "I hold the Book of Job to be real history; but that everything so happened and was so done I do not believe, but think that some ingenious, pious and learned man composed it as it is." Even during the preceding centuries some dissentient voices had let themselves be heard. More than a thousand years before Luther's day a much freer judgment than his had been passed upon the Book by Theodore bishop of Mopsuestia in Cilicia (died 428), a great name in the Antiochean school of Exegesis, and a man who resembled Luther in some points, especially his free handling of the Canon, though he was without the Reformer's geniality and sound hermeneutical instincts. Theodore, equally with Luther, believed in the existence of Job himself, but he regarded the Book as a fiction, written in imitation of the dramas of the heathen by an author familiar with the Greek wisdom, and nothing short of a slander upon the godly Patriarch....The whole, in his opinion, gave a distorted view of Job's character, detracted from the moral value of his history, and gave occasion to blame not only the pious sufferer but also the Book. Theodore, though not without insight, as his rejection of the headings to the Psalms indicates, was' apt to be hasty and narrow in his judgments. His views naturally compelled him to remove the Book of Job from the Canon....

The comparatively free judgment of Luther regarding the Book naturally gave a handle to the Catholics which they were not slow to seize, and was not appreciated by Protestant writers in the succeeding ages. In his Commentary concerning the Antiquity, &c. of the History of Job (1670) Fred. Spanheim maintains that if Job be not history it is a fraud of the writer, *ni historia sit, fraus scriptoris*. Such a judgment would condemn as wilful frauds not only the majority of modern compositions but the dramas and parabolic writings of all ages. It is hard to see even how an exception could be made in favour of the parables of our Lord. Happily a juster conception of the nature of scripture now prevails, and we are prepared to find in it any form of literary composition which it is natural for men to employ....

The rise in this age of the critical spirit, which indeed had been partially awakened to life in the preceding century by the publication of Richard Simon's *Critical History of the Old Testament* (1678), naturally led to free discussion of the Book and prepared the way for the comparatively unanimous verdict regarding it of modern times. The history of this discussion need not be pursued here. There are perhaps few scholars now who consider the Book strictly historical in all its parts. The prevailing view, which is no doubt just, is that it reposes on a historical tradition, which the author has used and embellished, and made the vehicle for conveying the moral instruction which it was his object to teach. There are still some, however, who regard the Poem as wholly the creation of the author's invention; and this view is not confined to any critical school, for it numbers among its adherents men so widely apart from one another in their critical positions as Hengstenberg and Reuss.

That the Book is not literal history appears, (1) from the scenes in heaven exhibited in the Prologue (ch. i., ii.), and from the lengthy speeches put into the mouth of the Almighty (ch. xxxviii. *seq.*). (2) From the symbolical numbers three and seven used to describe Job's flocks and his children; and from the fact that his possessions are exactly doubled to him on his restoration, while he receives again seven sons and three daughters precisely as before. (3) From dramatic and ideal nature of the account of the incidence of Job's calamities (ch. i. 13 *seq.*), where the forces of nature and the violence of men alternate in bringing ruin upon him, and in each case only one escapes to tell the tidings. (4) From the nature of the debate between Job and his friends. Both the thought and the highly-wrought imagery of the speeches shew that, so far from possibly being the extemporaneous utterances of three or four persons casually brought together, they could only be the leisurely production of a writer of the highest genius.

On the other hand, it is probable that the Book is not wholly poetical invention, but that it reposes upon a historical tradition, some of the elements of which it has preserved. (1) The allusion of the prophet Ezekiel to Job, where he mentions Noah, Daniel and Job (ch. xiv. 14), appears to be to a tradition regarding him rather than to the present Book. The prophet's knowledge of Daniel must have been derived from hearsay, for the present book of that name cannot have been known to him. And the manner of his allusion suggests that the fame for piety of the three men whom he names was traditional and widely celebrated. (2) Pure literary invention on so large a scale is scarcely to be looked for so early in Israel. Even considerably later the author of Ecclesiastes attaches his work to the name of Solomon; and later still the author of the book of Wisdom does the same. (3) The author of Job has a practical object in view. He does not occupy himself with discussing theories of providence that have only philosophic interest. He desires to influence the thought and the conduct of his generation. And this object would certainly have been better gained by making use of some history that lay slumbering in the popular mind, the lesson of which, when the story was awakened and set living before men, would commend itself more to the mind from not being altogether unfamiliar.

When we enquire, however, what elements of the Book really belong to the tradition, a definite answer can hardly be given. A tradition could scarcely exist which did not contain the name of the hero, and the name "Job" is no doubt historical. A mere name, however, could not be handed down without some circumstances connected with it; and we may assume that the outline of the tradition included Job's great prosperity, the unparalleled afflictions that befell him, and possibly also his restoration. Whether more was embraced may be uncertain. A vague report may have floated down that the mystery of Job's sufferings engaged the attention of the Wise of his country and formed the subject of discussion. It may also be argued that no reason can be suggested for making Uz the country of Job unless there was a tradition to that effect; and that the names of his friends, having nothing symbolical in them, must also belong to the story. This is doubtful. Eliphaz is an old Idumean name, and Teman was famed for wisdom; and "Eliphaz of Teman" might suggest literary combination. The other two names, not occurring again, do not awaken the same suspicions. They might be part of the tradition; but it is equally possible that they are names which the author had heard among the tribes outside of Israel. Even more liable to doubt is the episode of Job's wife, and the malady under which the Patriarch suffered. We can observe three threads running through the Book. One is that of the original tradition; another is the poetical embellishment of this tradition in the Prologue and Epilogue, Job being still treated as an individual. To this belong, for example, the names of Job's daughters, a touch of singular geniality from the hand of a writer who employs such sombre colours in the rest of the Book, and shewing that thought crushed under the sorrows of his time he was not incapable on occasions of rising above them. In many places, however, Job appears to outgrow the limits of individual life; his mind and language reflect the situation and feelings of a class, or even of a people. He is the type either of the class of suffering righteous men, or of that afflicted, godly kernal of the people (Is. vi. 13), to which the nationality of Israel was felt still to adhere, and which is known in the Exile under the name of the Servant of the Lord. The history of this suffering remnant under the trials of the Exile has not been written; but that it had a history, marked by great trials and great faith, commanding the attention and kindling the enthusiasm of prophetic men, appears abundantly from the latter part of the Book of Isaiah. It is not easy to say with any certainty to which of these three elements any particular epsiode or point in the Book ought to be referred. The story of Job's wife may be thought to be just the kind of trait which the popular imagination would retain, or what is the same thing, which it would invent; the inference being that it should be considered part of the tradition. On the other hand, it is possible that her falling away under her sorrows may be but the reflection of the apostasy of many of the people under their trials, the sight of which put so severe a strain upon the faith of those still remaining true. And when we read in Deuteronomy, "The Lord will smite thee with the botch of Egypt...the Lord shall smite thee in the knees and in the legs, with a sore botch that cannot be healed, from the sole of thy foot unto the top of thy head" (ch. xxvii. 27,35), and then in Job that Satan "went forth and smote Job with sore boils, from the sole of his foot unto his crown" (ch. ii. 7); and when further we find in Isaiah (ch. lii.--liii.) the Servant of the Lord represented as afflicted with leprous defilement, the impression can hardly be resisted that the three representations are connected together. Even in Deuteronomy the threat has ideal elements in it; in the Prophet the representation becomes wholly ideal; and the same is probably the case also in the Poet. In Deuteronomy the subject threatened is the people of Israel; in Isaiah the subject is the same, though with the modifications which history since the Exile had introduced, being the godly kernel of the people in captivity, to which the nationality and name and idea of Israel still belonged. And though we may not go so far as to say that Job is Israel or the Servant of the Lord under another name, it can scarcely be doubted that the sufferings of Israel are reflected in those of Job, and that the author designed that the people should see their own features in his, and from his history forecast the issue of their own. These are considerations that make us hesitate to regard Job's malady as part of the tradition regarding him, even though that view be supported by names so distinguished as that of Ewald.

The Book of Job has been called an Epic by some, by others a Drama, or more specifically a Tragedy, and by others still a Didactic Poem. That the Poem has a didactic purpose is unquestionable. It is equally evident that it contains many elements of the drama, such as dialogue, and a plot with an entanglement, development and solution. The action, however, is internal and mental, and the successive scenes are representations of the varying moods of a great soul struggling with the mysteries of its fate, rather than trying external situations. Much in the action may rightly be called tragic, but the happy conclusion is at variance with the conception of a proper tragedy. Any idea of representing his work on a stage never crossed the author's mind; his object was to instruct his countrymen and inspire them with hope in the future, and it is nothing to him that he detracts from the artistic effect of his work by revealing beforehand in the Prologue the real cause of Job's afflictions, the problem which is the subject of the dialogue, and the cause of the successive tragic phases of Job's feeling, in which the action chiefly consists. A more skilful artist according to western ideas might have concealed the explanation of Job's afflictions till the end, allowing it to transpire perhaps in the speeches of the Almighty. If he had allowed God to explain to Job the meaning of the sufferings with which He afflicted him, whatever addition to his literary renown he might have won, the author would have shewn himself much less wise and true as a religious teacher, for the experience of men tells them that they do not reach religious peace through the theoretical solution of the problems of providence; the theoretical solution comes later, if it comes at all, through their own reflection upon their history and the way in which God has led them. And if Job ever knew the meaning of his afflictions he learned it in this way, or he learned it through the teaching of some other man wiser than himself, as we have learned it from the author of this Book.

The Book of Job can hardly be named a drama, though it may justly be called dramatic. The dramatic movement is seen in the varying moods of Job's mind, and in his attitude towards Heaven. The dialogue with his friends partly occasions these moods and partly exhibits them. The progressive advance of the debate, however, is not to be considered as constituting the dramatic action. The commencement, culmination, and exhaustion of the debate do not run parallel with the rise, the increase and climax, and the composure of Job's perplexity of mind and war with Heaven. It is in the latter that the dramatic movement lies, in which the debate is a mere episode, for the state of Job's mind, twice signalised in the Prologue, lies before it, and the perfect composure to which he is brought by the divine speeches lies far behind it. Such a representation therefore as that of Delitzsch can hardly be accepted, who says "the Book of Job is substantially a drama, and one consisting of seven divisions: (1) ch. i.--iii., the opening; (2) ch. iv.--xiv., the first course of the controversy, or the beginning of entanglement; (3) ch. xv--xxi., the second course of the controversy, or the increasing entanglement; (4) ch. xxii.--xxvi., the third course of the controversy, or the increasing entanglement at its highest; (5) ch. xxvii.--xxxi., the transition from the entanglement to the unravelling; (6) ch. xxxviii.--xlii. 6, the consciousness of the unravelling; (7) ch. xlii. 7 seq., the unravelling in outward reality". This representation confuses two things quite distinct, and which do not move parallel to one another, namely the gradual thickening of the conflict between Job and his friends, ending at last in their directly imputing heinous offences to him, and the religious tension of Job's mind under his trials. It is not till the last round that the climax of the debate is reached (ch. xxii.), but the perplexity and violence of Job attain their height in the first round (ch. ix.--x.). Already in ch. xiv. the strain is considerably relieved, and it decreases still more in the speeches culminating in ch. xix., being wholly removed by the interposition of the Almighty.

The Book of Job, as we possess it, conveys the impression that it is a finished and well-rounded composition. Its form, Prologue, Poem and Epilogue, suggests that the writer had a clear idea before his mind, which he started, developed and brought to an issue in a way satisfactory to himself. The Book has not the appearance of a mere fragment, or what might be called a contribution to the ventilation of a great problem, on which the author feels that he has something that may be useful to say, though nothing very definite or final; although this is a view of the Book that some have taken. The author being assumed, however, to have a distinct idea, this idea still remains so obscure, and the question, What is the purpose of the Book? has been answered in so many ways, that a judgment regarding it must be put forth with the greatest diffidence. Almost every theory that has been adopted has found itself in collision with one or more of the parts of which the Book now consists, and has been able to maintain itself only by sacrificing these parts upon its altar. With the exception of the speeches of Elihu there is no great division of the Book to which valid objections can be made, except on the ground that it does not harmonise with the idea of the Poem. The Elihu speeches occupy their right place between the discourses of the friends and the answer of Jehovah. They maintain the ground of the former, though they perhaps advance and refine upon it; and they prepare for the speeches of the Almighty, being the expression from the reverent religious consciousness of man of that which the Almighty expresees, if such language may be used, from His own consciousness of Himself. Whether, therefore, these speeches be held original or considered a later insertion they import no new principle into the Book, and may be neglected when the general conception of the Poem is being sought for. It seems fair, however, to take into account all the remaining divisions of the Book.

Though the author of the Book does not identify himself with Job, whom, on the contrary, he allows to assume positions which are extreme, and to utter language which is unbecoming, Job is undoubtedly the hero of the piece, and in the sentiments which he expresses and the history which he passes through combined, we may assume that we find the author himself speaking and teaching. Even the exaggerated sentiments which he allows Job to utter are not to be considered mere extravagances; they are not incoherencies which Job flings out in one line, and retracts in the next; they are excesses, which men under trials such as he suffered are driven to commit, and with which the author, amidst the questionings in regard to providence,which the terrible sufferings of the time forced on men, was no doubt too familiar, if he had not himself perhaps fallen into them; and as we observe Job's mind gradually and naturally approaching the state in which he commits them, so we see it naturally recovering its balance and effecting a retreat. The discussion of the question of suffering between Job and his friends runs through a large part of the Book (ch. iv.--xxxi.), and in the direction which the author causes the discussion to take we may see revealed one of the chief didactic purposes of the Poem. When the three friends, the representatives of former theories of providence, are reduced to silence and driven off the ground by Job (ch. xxi., xxiii., xxiv.), we may assume that it was the author's purpose to discredit the ideas which they support. The theory that sin and suffering are in all cases connected, and that suffering cannot be where there has not been previous sin to account for the measure of it, is a theory of providence which cannot be harmonised with the facts observed in the world. Job traverses this theory on both its sides. He himself is an instance of suffering apart from previous sin; and the world is full of examples of notoriously wicked men prospering and being free from trouble till the day of their death. Job offers no positive contribution to the doctrine of evil; his position is negative, and merely antagonistic to that of his friends. Now without doubt in all this he is the mouthpiece of the author of the Book.

It is natural now to suppose that the author contemplated only this negative result? Would he have thought his task sufficiently fulfilled by pulling down the old fabric under which men had found friendly shelter and comfort for ages, and strewing its ruins on the ground, without supplying anything in its place, beyond perhaps the good advice which he is supposed to give in ch. xxxviii. seq.? So far as the rest of the Poem is concerned no further light is cast on the question. Job is left in darkness, and the divine speeches do not touch the point. The author exhibits Job reaching the conclusion that the righteousness of God, as he is common with his friends had always understood it, cannot be detected in the world as God actually rules it. And he exhibits the terrible perplexity into which the discovery threw him To miss God's righteousness in the world was equivalent to missing it in God Himself, and Job's idea of God threatened to become wholly transformed. He is filled with terror and despair, and in his wrestling with the question he forces his way across the confines of this world, and first demands (ch. xiv., xvi.--xvii.) and then assures himself (ch. xix.) that, if not in his life here, beyond his life here, God's righteousness shall be manifested. By allowing Job to rise to such a thought the author probably meant to signalise it as one of the solutions to which men or himself had been forced. But the time was not yet come, and the darkness that overhung all beyond this life was too thick for men to find repose in this great thought. Hence Job is made to renew his demand for a solution in this life of the riddle of his sufferings (ch. xxxi. 35-37). Does then the author offer no solution? He does not, and no solution is offered to us, unless the Prologue supplies it. This passage, however, when naturally read, teaches that Job's sufferings were the trial of his righteousness. If then we bring the Prologue and the debate into combination we perceive that it was the author's purpose to widen men's views of God's providence, and to set before them a new view of suffering. With great skill he employs Job as his instrument to clear the ground of the old theories, and he himself brings forward in their place his new truth, that sufferings may befall the innocent, and be not a chastisement for their sins but a trial of their righteousness.

This may be considered one great purpose of the Book. This purpose, however, was in all probability no mere theoretical one, but subordinate to some wider practical design. No Hebrew writer is merely a poet or thinker. He is always a teacher. He has men before him in their relations to God. And it is not usually men in their individual relations, but as members of the family of Israel, the people of God. It is consequently scarcely to be doubted that the Book has a national scope. The author considered his new truth regarding the meaning of affliction as of national interest, and to be the truth needful to comfort and uphold the heart of his people in the circumstances in which they were.

But the direct teaching of the Book is only half its contents. It presents also a history--deep and inexplicable affliction, a great moral struggle, and a victory. Must not this history also be designed to teach? It is not a kind of apologue the purpose of which is to inspire new conduct, new faith, and new hopes? In Job's sufferings undeserved and inexplicable to him, yet capable of an explanation most consistent with the goodness and faithfulness of God, and casting honour upon His faithful servants; in his despair bordering upon apostasy, at last overcome; in the higher knowledge of God and deeper humility to which he attained, and in the happy issue of his afflictions--in all these Israel may see itself, and from the sight take courage, and forecast its own history. What the author sets before his people is a new reading of their history, just as another new reading is set before them by the Prophet in the latter part of Isaiah. The two readings are different, but both speak to the heart of the people. Job, however, is scarcely to be considered Israel, under a feigned name. He is not Israel, though Israel may see itself and its history reflected in him. It is the elements of reality in his history common to him with Israel in affliction, common even to him with humanity as a whole, confined within the straitened limits set by its own ignorance; wounded to death by the mysterious sorrows of life; tortured by the uncertainty whether its cry finds an entrance into God's ear; alarmed and paralysed by the irreconcileable discrepancies which it discovers between its necessary thoughts of Him and its experience of Him in his providence; and faint with longing that it might come unto His place, and behold Him not girt with His majesty but in human form, as one looketh upon his fellow--it is these elements of truth that make the history of Job instructive to the people of Israel in the times of affliction when it was set before them, and to men in all ages.

The manifold theories of the purpose of the Book that have been put forth cannot be mentioned here. The construction of Ewald, brilliant and powerful though it be, has not been accepted by any other writer. Bleek, unable to find any single idea giving unity to the Book, contents himself with stating three truths which the Book appears to teach. (1) That even a pious man may be visited by God with heavy and manifold afflictions without it being necessary to consider these as punishment on account of special sinfulness and as a sign of special divine displeasure; that it is wrong to reproach such a one with his sufferings as if they had their origin in the divine displeasure, seeing they may rather be inflicted or permitted by God in order that his piety may be tried and find suitable opportunity of approving itself (Prologue). (2) That it is foolish presumption on the part of men to strive with God on account of the sufferings befalling them, and to seek to call Him to a reckoning, seeing no man is in a position to fathom the wisdom and counsel of God, man's true wisdom being rather to fear the Lord and eschew evil (Poem). (3) That Jehovah will at last surely have compassion on the pious sufferer and bless and glorify him, if he perseveres in his piety and cleaves to God, or if, having transgressed in his impatience, he repents (Epilogue).

An attractive theory, in some degree a modification of that of Hupfeld and others, has more recently been put forth by some acute writers in Holland. It is to the effect that the author's design is merely to cast some light upon an acknowledged problem. The problem is the sufferings of the innocent--how they are to be reconciled with the righteousness of God. This problem is presented in the Prologue, which exhibits a righteous man subjected to great calamities. The Prologue gives no explanation of these calamities; Job's demeanour under his successive troubles merely shews his rectitude: here is undoubtedly a righteous man. In Job's person the problem is embodied and presented. Even the debate between him and his friends has no further effect or purpose than to set the problem in a strong light. The friends attempt an explanation of Job's afflictions, and if they had succeeded the problem would have been at an end. By their failure it is only seen more clearly to be a problem. Job contributes no solution, but his perplexity and despair and danger of apostasy shew how terrible the problem is. The whole point of the Book, therefore, lies in the divine speeches. All the rest is mere fact, or brilliant exhibition of a fact, that there is a terrible problem. The divine speeches do not solve the problem, for the problem is insoluble, but they give some satisfaction: they teach why it is insoluble, namely, because God and His ways are inscrutable. They say in effect two things: man cannot do what God does; and he cannot understand why He does what He does. And the conclusion is that nothing remains for him but acquiescence in the unsearchable providence of God. This is the great leason which the author designed to teach his generation and mankind.

There are difficulties in the way of this theory. 1. Besides that the line of thought found in the Book is rather modern, the reader has difficulty in believing that the author's purpose went no further than to present a problem, pronounce it insoluble, and recommend resignation. 2. The reading of the Prologue which finds in its language no *explanation* of Job's afflictions is unnatural; and this reading of it leaves the function of the Satan entirely unexplained, who becomes a mere "evil spirit", in no connexion with the providence of God. 3. According to this theory Job's afflictions narrated in the Prologue, and these are all his afflictions, have merely the purpose of shewing his righteousness, which only comes to light by them. But in this way the author becomes guilty of a strange inconsequence. He meant to put forward the terrible problem of the sufferings of a righteous man; but these sufferings were necessary to shew that the man was righteous, and thus they are explained, and there is no problem. 4. The reading of the divine speeches is narrow and not natural. 5. The epilogue is an irrelevancy, or hangs in the loosest way to the Poem. It is added merely because "poetic justice" demanded it, or because the author "could not" let his hero die in misery, or for some similar sentimental reason.

[Excerpts from A. B. Davidson's *The Book of Job*....(Cambridge, 1889). Davidson's footnotes have been deleted.]

C. Oedipus, Seneca (optinnal)

1. Teaching Procedure:

Having just completed the study of Sophocles, the students should be quite familiar with the Oedipus legend. This should allow them to concentrate in depth on dramatic techniques in their study of this play. They will best understand what Seneca is doing by comparing his play to Sophocles' *Oedipus*. A comparative study of Seneca's *Oedipus* and Sophocles' *Oedipus* should demonstrate to the students that there is a great deal more than plot involved in drama. They should be able to see how two dramatists, using the same material or plot, are able to convey totally different meanings. The study should also demonstrate to them the differences between the Greek stage machine and the Roman stage machine.

The most difficult thing the students will have to deal with in this comparative study is the different views of foreknowledge and freewill that are presented in the two plays. They should deal with this question in detail, working closely with the two texts. It should be discussed only in relation to the two plays. A general discussion of the question would only confuse the students and obsuure the way it is presented in the plays.

2. General Aids:

The teacher should consult the bibliography at the beginning of this unit for material on Seneca and Roman drama.

The following material is provided so that the teacher can direct the students in their discussion of the play. It should NOT be delivered to the students as a lecture!

THE PURPOSE OF SENECA'S PLAY:

If Seneca's work is viewed as merely an attempt to reproduce the Greek model for a Roman audience than it must be admitted that it is a tremendous failure; Sophocles' Oedipus is reduced to bombastic melodrama in the hands of Seneca. The students should be able to see that Seneca is trying to do something quite different with the material. His work should not be judged on the same 'standard' as Sophocles', but on the basis of his genre and canons.

We have seen that the purpose of Sophocles' Oedipus is to reassert the existance of a divinely ordered universe and to justify the ways of the gods to men. But Seneca is not interested in these questions. His play starts on the assumption that some higher being rules the universe; Seneca's Oedipus never questions the existence of the gods. The question of justice is irrelevant in Seneca's play. His concern is HOW one ought to react to this universe, not why the universe is the way it is.

We must remember that Seneca was one of the leading spokesmen for Stoicism in his own day. (See the ANCIENT TRAGEDY section in the student packet). The Stoics believed that everything that happens in this world is the result of a divine will or fate. The justice of this did not concern them. What did concern them was the question of what was the best way to live in such a world. They maintained that a man should simply accept everything that happens to him with impassivity, that he should free himself from all passions that complicate his life—grief and joy. This is the doctrine that underlies Seneca's Oedipus. The characters of the play are people who have extraordinary passions, and rather than suppress them, they give full vent to their emotions. As the Stoic teacher Seneca demonstrates that excessive emotions have horrible consequences; the play becomes a negative example of the way in which one should accept his fate.

The play also serves as a vehicle for Seneca's practice of rhetoric. The excessive emotions in the play are displayed by the use of language. The language is deliberately artificial and bombastic. There is no attempt at realism or naturalism. Oedipus is characterized as a heroic figure of extraordinary passions by his use of language.

THE STRUCTURE OF SENECA'S PLAY:

A comparison of the structure of Seneca's play with that of Sophocles demonstrates that Seneca is much more interested in the individual speeches than in making the events of the play flow from one another and developing a well-knit structure. The exposition in Sophocles' play (the opening exchange between Oedipus and the preist) gives us the situation in a few short lines and some indication of how Oedipus will deal with it. Seneca's play, on the other hand, opens with a long emotional speech by Oedipus, and he is well into the speech before we learn who he is and why he is so upset.

We notice that throughout Seneca's play events do not appear to be related to one another (for example, the entrances and exits of the characters), nor do the characters seem to interact. It is as though the play were merely a series of speeches, each character stepping forward to deliver his speech solely to the audience, not for the benefit of his fellow characters, and then retiring. We also observe that there is really no action as such in the play, but the description of action in the speeches. This structure (or lack of structure) keeps our attention focused on the individual speeches and ultimately on the language of those speeches. Seneca's dramatic techniques have been compared to those of opera where our attention is focused on the individual arias rather than on the drama that surrounds them.

THE CHARACTER OF SENECA'S OEDIPUS:

In Sophocles' play we see Oedipus as a man of action and a free agent. His decisions and actions in the play function as the causal factor in the plot of the tragedy. It is Oedipus himself who puts into motion the sequence of events that lead to the discovery of his true identity and he keeps these events moving throughout the play. Seneca's Oedipus, on the other hand, is more acted upon than acting. His opening speech, which introduces the prophecy about himself and connects the plague in Thebes with his own pollution, suggests that he is not a free agent, but is the victim of fate. Sophocles emphasizes Oedipus' freewill at the very beginning of his play by making Oedipus responsible for Creon's journey to the oracle and for the appearance of Tiresias. But in Seneca's play there is no suggestion that Oedipus has had anything to do with Creon's journey to the oracle, and it is clear that Tiresias appears without having been summoned. Whereas Sophocles' Oedipus is impatient to know what Creon learned at the oracle, Seneca's Oedipus dreads to hear the news Creon brings: "I quake with horror" (p. 15). In Sophocles' play Oedipus forces Tiresias to tell what he knows, but in Seneca's play Tiresias comes forward to perform prophetic rites without the slightest encouragement from Oedipus. Seneca's Oedipus in no way pursues the search for Laius' murderer or for his own identity; the truth is thrust upon him, not revealed by the efforts of his own search.

At the opening of Sophocles' play we see Oedipus as a man of intelligence and strength. He is in full control of himself and the situation, and he systematically proceeds to meet the problem. Seneca's Oedipus, on the other hand, is first presented to us in a frenzy of terror. He wildly laments the situation, but in no way prepares to meet it. Very early in Seneca's play the riddle of the Sphinx is introduced. In Sophocles' play the riddle serves to characterize Oedipus as a man of intelligence and insight. It suggests that Oedipus is symbolic of all mankind, and that his search for his own identity is a search for the true definition of man. But in Seneca's play the riddle serves to show that Oedipus is a man of valor and passion. It emphasizes his physical, not his mental, abilities. Seneca's Oedipus does not appear as a figure for all mankind in search of self-knowledge, but as an example of the potentiality of human passions.

Throughout Seneca's play we see Oedipus react with--horror of the truth. His anger at Creon and his accusation that Creon is plotting against him are completely unreasonable (in Sophocles' play Oedipus' anger proceeds from logical premises). Sophocles' Oedipus offers mercy to the murderer of Laius if he will come forward and confess, but Seneca's Oedipus demands complete vengeance. He not only curses the murderer with exile, but ironically he curses him with a prophecy of parricide and incest. When the truth is revealed we see Seneca's Oedipus reach the heights of excessive emotion. His self-blinding is not symbolic of ignorance and knowledge, but demonstrates the enormity of his passion. Whereas Sophocles' Oedipus somehow triumphs at the end of the play, at the end of Seneca's play we see an Oedipus totally crushed by fate and his own passions.

DETERMINISM:

We have seen that in Sophocles' play Oedipus is free either to discover or not discover that the prophecy about himself has already been fulfilled. None of the events in the play are predicted; things happen because Oedipus exercises his freewill, not because they have been fated to happen. In Seneca's play we have an entirely different situation. As Oedipus' opening speech suggests, his fate is totally determined. He can exercise freewill insofar as he can choose how to react to his fate (whether to accept it with impassivity or rage against it), but he can in no way change his fate. And in Seneca's Oedipus all the events that take place in the play are predicted and therefore determined.

The rites performed by Manto under the direction of Tiresias symbolically predict all the later events of the play and much of the later history of the royal house of Thebes. When incense is thrown on the fire:

> ...the quarrelsome fire is separating into two factions, schism divides the embers of a single sacrament—Father, I shudder to see! The libation of wine changes to blood, a heavy smoke circles the king's head, settles very thick around his face [Oedipus'], shuts the blotched light out with its dense fumes.
>
> (p. 19)

The separation of the fire into two factions is symbolic of the later history of the royal house of Thebes. Oedipus' sons, Eteocles and Polynices, fall to warring with each other over the kingship of Thebes. This war is attributed to the pollution Oedipus has passed on to his sons who are also his brothers. The smoke that "shuts the blotched light out with its dense fumes" is a reference to Oedipus' act of self-blinding.

The sacrifice of the bull and the heifer is symbolic of the actions of Oedipus and Jocasta at the end of the play. Oedipus' horror at learning the truth and his self-blinding are predicted with: "The bull raised his head high when he was placed to face the east; he was afraid of daylight and shrank in terror from the sun and its rays" (p. 19). Jocasta's suicide and Oedipus' suffering are symbolized with:

> The heifer threw herself on the knife and collapsed with one wound; the bull, though he was struck twice, is lunging uncertainly this way and that, and in exhaustion panting forth his unresisting life.
>
> (p. 19)

Oedipus' self-blinding is again refered to with. "...the deadly wounds are barely spotted with a sprinkle, while the gush turns backward, through the mouth and eyes"(pp. 19-20). When the entrails of the animals are examined, Manto finds a prediction of the war between Eteocles and Polynices ["...two heads rise with equal swelling..." p. 20], and a prediction of the slaughter of the Seven against Thebes ["...the hostile side is raised and rugged, with seven taut veins, but an oblique line intercepts them and prevents their turning back." p. 20]. (See THE ROYAL HOUSE OF THEBES, Student Packet). Jocasta's bearing of her son's children is referred to with, "A fetus in a virgin heifer!--and not in the usual position; it occupies a strange part of its parent" (p. 20).

Early in the play the reported words of Laius' ghost assure us that the prophecy has been fulfilled and predicts Oedipus' discovery of this and his self-blinding:

> Murderous house of Cadmus, always reveling in blood of kin, shake the thyraus, mangle your sons with frenzied hand, for Thebes' heinous crime of mother love is worse...It is not the pestilential south wind with its noxious blast that does you hurt...it is your bloodstained king who has usurped his father's scepter and untouchable bed—a detestable offspring! Yet worse than the son is the mother,

> her accursed womb again teeming. He plied his own source and begot unholy issue upon his own mother... He himself will wish to flee our seats with rapid strides, but I will impede his going and hold him back with an affiction that will retard his pace. He will grope uncertainly for the road, tapping his path with an old man's staff. Do you deprive him of earth; I, his father, will take bright sky from him.
> (pp. 26-27)

Thus we see that all the events of the play are predicted--Oedipus' discovery of his true identity, his self-blinding, and Jocasta's suicide. These predictions make Oedipus' last words ironic: "I have murdered my mother also, for it is my sin that killed her. Lying Phoebus, I have outdone the impious fates" (p. 38). Oedipus does not believe that Jocasta's suicide was fated and so he thinks he has triumphed over the fates. The play, however, has shown that everything was fated.

The proper view of the universe of the play is presented by the Messenger:

> The fates drive us; to the fates we must yield. No anxious care can change the spindle's ordained skein. Whatever mortal kind undergoes, whatever we do, comes from on high...All things proceed in the path laid out; our first day appoints our last...For each man the course ordained proceeds to its end, and no prayer can change it. Many find fear itself the evil; they encounter their fate in the act of avoiding it.
> (p. 36)

This speech also contains the doctrine of Stoic acceptance, the proper way to live in such a world: "No anxious care can change the spindle's ordained skein" and "...no prayer can change it. Many find fear itself the evil..." This is the real point of Seneca's play.

At many points in the play Jocasta serves as the Stoic spokesman. In the first scene she rebukes Oedipus for his excessive emotion with, "What is the use of aggravating troubles by lamenting them, husband?" (p. 13). Later when the truth is revealed she says, "Your dereliction was fated, and fate cannot make guilt" (p. 37). Her quiet suicide as opposed to Oedipus wild raging is a supreme example of stoic acceptance of fate. The clearest expression of the Stoic doctrine is given by the chorus:

> If I could fashion at my discretion I would trim my sails to gentle breezes, lest a wind too fresh shake and bend the rigging. Let my barque be borne serenely by the moderate and even flow of a light breeze; let life bear me forward in the safety of the middle course.
> (p. 34)

The chorus then speaks of Icarus and his folly (cf. 7th grade, Classical Myth); they juxtapose the life ruled by passion and point out the consequences of the latter. It is the same point Seneca is trying to make with the play as a whole.

THE REVENGE THEME:

In Sophocles' Oedipus we say that the major theme of the play is self-knowledge and that this theme is carried by images of "sight" and "blindness".

But in Seneca's Oedipus this theme is dropped; Oedipus does not undertake a search to find out his own identity--it is simply revealed to him. What then does Seneca emphasize in the Oedipus legend? Stressed throughout the play is revenge. In his opening speech Oedipus sees the plague in Thebes as the vengeance to the gods on himself: "Could you expect that crimes so black would be rewarded with a healthy kingdom? I have infected the very air" (p. 12). When Oedipus has heard Creon's report from the oracle, he vows to avenge the murder of Laius. Oedipus has a terrible revenge in store for the murderer--he calls on the gods to make this man commit parricide and incest, the curse the gods have laid on him. Throughout the play when Oedipus is angered by anyone he threatens them with vengeance: "If you think me cruel and savage, vengeance is ready to your hand: speak the truth!" (p. 33).

Oedipus is quick to take revenge on anyone who affronts him. Ironically the action of the play represents the revenge the gods take on Oedipus for his impious acts. Juxtaposed to Oedipus' curse on Laius' murderer are the words of the ghost of Laius:

> You, you who hold the scepter in your bloody hand,
> you and your whole city I shall assault, a father
> unavenged; and with me I shall bring Erinys to be
> attendant on your nuptials, I shall bring her cracking
> her whip. I shall overturn your incestuous house,
> I will crumble your home with unholy war.
> (p. 27)

Seneca's Oedipus becomes a revenge tragedy in which Oedipus is both the avenger and the one on whom vengeance is to be taken. We already have the ghosts, the melodramatic dumb-show productions, the mad-ranting, the rhetoric which was to characterize revenge tragedy in Shakespeare's day--which leads straight to Hamlet (cf. Grade 12, Shakespearean Tragedy).

VI. Elizabethan Tragedy

A. Doctor Faustus

I. Teaching Procedure:

The most immediate difficulty the students will have to overcome in dealing with this play is its language. The verse form, the unfamiliar constructions and words will make the language difficult until they are accustomed to it. The students must be asked to read carefully and 'dramatically'; they should not be allowed to skim over things that they do not understand. Rather they should set forth directly or indirectly--on stage or in their minds, in mime, pageant, or symbolic dance--the meanings of the words. The irony of this play rests heavily on puns and plays on words; and the students must see how the language is being used if they are to understand it. In the reading questions in the student packet, the students are frequently asked to paraphrase or to explain puns and word plays. We have spoken of silent drama--mime, etc; the teacher should also frequently ask the class to work up spoken and acted versions of significant scenes to make sure that it is clear about language, diction, rhythm, vocabulary, and, most of all, dramatic impact. The teacher must himself practice Marlowe's verse until it dances off his tongue with swiftness, expression, and a clear sense of dramatic scoring. Records of Dr. Faustus may help here.

2. General Aids:

The teacher should consult the bibliography at the beginning of the packet for information on Christopher Marlowe and Elizabethan drama.

The following material is provided so that the teacher can, with as full awareness as possible, direct the students in their study of the play. It is NOT to be delivered to the students as a lecture.

THE CHARACTER OF FAUSTUS: First of Men: Equal to Gods? Another Oedipus?

The opening speech of the Chorus provides us with the normative view of Faustus and the choice he makes:

> Excelling all whose sweet delight disputes
> In heavenly matters of theology,
> Till swollen with cunning, of a self-conceit,
> His waxen wings did mount above his reach
> And glutted more with learning's golden gifts,
> He surfeits upon cursed necromancy.
> Nothing so sweet as magic is to him,
> Which he prefers before his chiefest bliss.
> (p. 2)

The "waxen wings" allude to the story of Icarus who was as much a symbol of self-destructive presumption for the Elizabethans as he was to Seneca; as such, Icarus is emblematic of the career of Faustus, the Faustus swollen with self-sufficiency and presumption, the Faustus who knowingly chooses damnation over salvation. The chorus praises his intellectual abilities, but he hardly represents (as some critics have tried to claim) the Renaissance Man; at least, he is not the man who, in his quest for unlimited knowledge, bravely throws off the shackles of medieval Christianity. If he is 'Renaissance Man' at all, he is only so in his quest for knowledge, science, and power; for this, he is damned. The play gives an orthodox view of the process of damnation; Faustus is no "admirable sinner." Or is he? You will have to elaborate your own view; the play gives one materials to work on. Some observations concerning it may be in order.

Faustus chooses for power divorced from moral responsibility: in the first scene of the play we see him alone in his study, debating what career to choose--rejecting medicine, law, divinity, and settling on magic. He does not select magic for knowledge-for-itself, but for "...a world of profit and delight of power, of honor, of omnipotence" (p. 5). Medicine would "heap up gold." It does not meet his other aims:

> Yet art thou still But Faustus, and a man.
> Couldst thou make men to live eternally
> Or, being dead, raise them to life again,
> Then this profession were to be esteemed.

He would be God; medicine's promise is not even a good parody of the actions of Christ--raising men from death, granting eternal life, etc. Law is a petty and mercenary drudge; divinity believes man weak, limited, and fallible, subject to death, and dependant upon a forgiving God. Faustus does not wish to regard himself as weak, dying, or dependent on his Creator.

Presumption and despair, the assumption that one is too good for God's help and the assumption that one does not need God's help are always regarded in Renaissance theology as the sins against the Holy Ghost. Faustus suffers each in turn. First, despair. He rejects divinity, and Divinity--God. His choice of necromancy is a choice of the not-God (Lucifer) over God. And he is well aware that the choice is risky but covers the awareness with a slick syllogism that argues man is doomed already:

1st premise: "The reward of sin is death."
2nd premise: "If we say that we have no sin, we deceive ourselves, and there is no truth in us."
Conclusion: We must sin and so consequently die, Ay, we must die an everlasting death...What will be, shall be." (pp. 4-5)

Faustus arrives at this fantastic conclusion by citing parts of two Biblical passages: Romans 6:23 (the complete passage reads: "For the wages of sin is death but the gift of God is eternal life through Jesus Christ our Lord.) and I John I:8 (If we say that we have no sin, we deceive ourselves, and the truth is not in us. If we confess our sins, he is faithful and just to forgive us our sins, and to cleanse us from all unrighteousness.") The Bible acknowledges the imperfection of man and the mercy of God. Faustus sees only man's imperfection.

Faustus' concomitant Icarian presumption blinds him that he believes that, though doomed, he can command Hell out of existence--thus needs no help. He believes that he has brought the devil forth by his conjuring speeches and skill in necromancy, that, in a sense, he has created him. But Mephisto says tha he has come only because his caller blasphemed: "For when we hear one rack the name of God,/Abjure the Scriptures and his Savior Christ, we fly in hope to get his glorious soul" (p. 16). Faustus refuses to believe that hell exists even though Mephistophilis stands before him and even though Faustus found Mephistophilis so horrible and so terrifying that he demanded that his devil assume the appearance of a Franciscan friar (a demand in accordance with the Elizabethan belief that devils could assume physicality). And Mephisto gives Faustus the most potent warnings as to what Hell is and what makes it hellish before Faustus signs the compact. Asked how Lucifer came to be prince of devils, Mephisto replies: "O by aspiring pride and insolence. For which God threw him from the face of heaven" (p. 17); Faustus' parallel condition will damn him. Mephisto adds tb the warning--in a moment of pain:

Why, this is hell, nor am I out of it:
Thinkst thou that I who saw the face of God
And tasted the eternal joys of heaven
Am not tormented with ten thousand hells
In being deprived of everlasting bliss?
O Faustus, leave these frivolous demands
Which strike a terror to my fainting soul!
(pp. 17-18)

Faustus' simple logic answers with devastating irony:

What, is great Mephistophilis so passionate
For being deprived of the joys of heaven"?
Learn thou of Faustus manly fortitude
And scorn those joys thou never shall possess.
Go, bear these tidings to great Lucifer:
Seeing Faustus hath incurred eternal death
By desperate thoughts against Jove's diety,
Say he surrenders up to him his soul...
(p. 18)

Hell is to choose the not-God; to mount wax-winged to pretence to Divinity is to fall wax-winged as surely as if one only despaired.

Marlowe's chief rhetorical tools in undercutting Faustus are irony, obvious chop-logic, and obviously inflated rhetoric--devices whose content can be communicated by the way one reads and plays the speeches.

B. Goda and Worship: Upside-Down Religion: Marlow has his characters misuse the Bible and religious ritual to indicate the inversion of values in the play. For instance, Faustus completes the work of his own damnation with the words "Consummatum est," the last words uttered by Christ on Calvary when He had completed the work of redemption (John 19:30). If Christ's blood symbolizes salvation, Faustus has made his blood symbolize damnation. But even with the contract signed, Faustus' choice is not irrevocable until the last scene of the play (his death). The rest of the play, sees his reaffirm his original choice of damnation again and again. As Marlowe pushes home the idea that Faustus always has free choice and always rejects the genuine article(e.g. the good and evil angel scenes).

As we have parody communion, we also have 'parody' marriage. After the sealing of the diabolic contract, Faustus' character begins to change. The movement of the play from this point concentrates on his slow moral and spiritual disintegration, a disintegration emphasized by the contrast between the articles of the contract and the way in which they are fulfilled. Thus, the contract states "...that Mephistophilis shall be his servant and be at his command"(p. 29). It slowly becomes clear to Faustus that Mephistophilis is not his servant; he, as slave to his own appetite, is Mephisto's slave: in return for Faustus' soul the contract promises "...Mephistophilis shall do for him, and bring him whatsoaver"(p. 31). Mephistophilis answers, "How a wife?/ I prithee Faustus, talk not of a wife"(p. 31). The devil is impotent to provide anything blessed by God i.e., marriage is a 'sacrement'. Faustus slowly comes to realize that anything worth having or knowing is blessed by God, and forbidden to him; the infinite knowledge Mephisto promises to him turns out to be not much. Mephisto can bring paramours, i.e. Helen, but not wives.

We also have parody penances. When Lucifer uses the threat of violence to make Faustus give up the thought of turning back, Faustus repents his sin against Lucifer, his "temptation" to turn back to God:

> Nor will I henceforth. Pardon me in this,
> And Faustus vows never to look to heaven,
> Never to name God or to pray to him,
> To burn his Scripture, slay his ministers,
> And make my spirits pull his churches down.
> (p. 39)

And as "penance" he receives a vision of the Seven Deadly Sins--a parody of the Christian confession; Faustus acknowledges his offense against Lucifer, appeals for mercy and pardon, vows never to offend again, and joyfully receives his 'penance.' Again, when the Old Man toward the end begs Faustus to repent, to "Break heart, drop blood, and mingle it with tears--" (p. 69), Faustus despairs, cannot repent and begs Mephisto to ensare the Old Man's soul; since the words of the Old Man "tempt" him to repent, Mephisto employs the hook ["Thou traitor, Faustus, I arrest thy soul/For disobedience to my sovereign lord./Revolt, or I'll impiecemeal tear thy flesh"(p. 70)] and does another parody - Christian - confession, now dressed as a Father Confessor and a Franciscan friar. Faustus begs upside-down forgiveness for his presumption: "Sweet Mephistophilis, entreat thy lord/To pardon my unjust presumption,/And with my blood again I will confirm/My former vow I made to Lucifer."

For his "penance" Faustus receives a mock 'paradise'--Helen--rather a demon taking her physical form (earlier parts of the play have made it clear that neither Faustus nor Mephisto have the power to resurrect people from the dead; they can only bring forth evil spirits in the semblance of people). Faustus must be aware that this is not actually Helen of Troy; the audience would have. It is relevant to recall that Elizabethans believed that human beings could have sexual relations with devils and so damn themselves. But Faustus asks his 'paradise' to make him immortal:

> Was this the face that launched a thousand ships
> And burnt the topless towers of Illium?
> Sweet Helen, make me immortal with a kiss.
> Her lips sucks forth my soul--see where it flies!
> Come Helen, come, give me my soul again.
> Here will I dwell, for heaven is in these lips
> And all is dross that is not Helena.
> (p. 71).

Homer's Helen served Elizabethans as a symbol of destructive beauty and irresponsible pleasure, an overtone recalled in the second line of Faustus' speech; The Helen-demon literally can suck forth Faustus' soul to an afterlife. But that afterlife is not what Faustus means, and he continues his speech with some glorious rhetoric:

> O thou art fairer than the evening air
> Clad in the beauty of a thousand stars!
> Brighter art thous than flaming Jupiter
> When he appeared to hapless Semele,
> More lovely than the monarch of the sky
> In wanton Arethusa's azured arms
> And none but thou shalt be my paramour!
> (p. 72)

The images of fire and air speak of Helen; Helen will cause Faustus to burn like the topless towers of Troy. Holding the sun in his arms, Faustus is held in the fiery jaws of his own desire--in the heavenly bliss and immortality of erotic vision. To be Icarus is to see all kinds of fires as divine.

Sometimes the upside-down religion also functions as 'straight' commentary. Thus, when Faustus does his parody penance, he is presented the pageant of the seven sins so that he can savor how good they are and will be (Scene VI); but the savor of sin goes out of the sauce when this allegorical pageant is translated into dramatic action in the scenes that follow. First in the pageant of the Seven Deadly Sins comes Pride whose dramatic equivalent is Scene VII at the Papal Court (the man who thinks he can usurp the throne of God, usurps instead the position of the pope as symbol for worldly pride); next in the pageant comes Covetousness reenacted when Faustus cheats the Horse-Courser (Scene XI); next Wrath, reenacted when Faustus takes revenge on a scornful knight by placing horns on his head; Envy, when Faustus can see that the Old Man is destined for the joys of heaven that he himself will never possess; and and Gluttony, when Faustus fulfills the Vanholt's request for grapes. Sloth is spiritual sloth:

> Confound these passions with a quiet sleep:
> Tush, Christ did call the thief upon the cross;
> Then rest thee, Faustus, quiet in conceit.
> (Scene XI, p. 62)

Lechery, is the face that launched a thousand ships.

Foreknowledge and Freedom:

Thus for we have conphasized Faustus' freedom; we have not spoken of its limits.

Marlowe did not simply sit down to write a play; he sat down to write a tragedy. And the simplest Renaissance conception of tragedy is somewhat parallel to that which we have used to describe the action of Oedipus: a tragedy is a story with a disastrous ending. In more sophisticated terms it tells of the deeds of Fortune as she deals, in Chaucer's phrase, with "regnes that been proud." Marlowe's tragedy is an extension of the medieval wheel-of-Fortune tragedy, rooted in Boethius and developed by Boccaccio and his Renaissance imitators.

From the perspective of the twentieth century, we have sometimes taken the tragedies concerned with men who suffer the turnings of Fortune as implying that men are mechanically doomed or predestined to disaster. But this is not precisely what is involved. Boethius, in the Consolation of Philosophy, suggests that man is a free moral being; his freedom is a freedom of the spirit, of motives, of values: he may choose to love permanent or eternal goods; he may choose to love the temporal. Faustus clearly has choice, and chcice primarily as to what he wants, what he desires, what his goods will be. His choice also limits his freedom. That man who loves the eternal places himself spiritually outside the fiery touch of physical adversity. What he loses, in suffering, is not that to which he has attached supreme importance. The man who, like Faustus, loves the temporal (power, temporal goods, sexual satisfaction, objects in general) does not know such a secure home. Having placed his faith in temporal things which must, by their nature, change and decay, he subjects himself to the mutability implicit in them. Fortune's wheel is a metaphor for the fluctuations of the temporal world. Fortune herself represents temporal goods: prestige, love, possessions,objects in general. The variability of Fortune, implicit in the very objects which she represents, implicit in the cycles of the natureal physical world, is providential. To the good man, good fortune is an opportunity for the goodness demanded by eternal law (charity, generosity, justice, etc.); bad fortune is a test, reminding him that the goods of fortune are merely vehicles and not ends: For the evil man, prosperity is only an illusion which prevents him from recognizing the center of his exile; from god--as with Faustus; suffering may either be the whip which turns him from ephemeral goods or, if he chooses to stick with such goods, the source of an ultimate despair. Macbeth sees only the "petty pace" and the "fools lighted to . . . death"; this is implicit not in his agony but in the way he chooses to take it. And Faustus, time-bound too, deliberately places himself in exactly Macbeht's position. Faustus is what Sherman Hawkins has called tragedy of damnation--i.e. tragedy is which suffering's regenerative power is rejected.

That Fortune's favor is illusory is in this play dramatized forcefully by the contrast which Marlowe sets up between the actual accomplishments of Faustus' magical career and the designs of gaining honor, wealth, and omnipotence which caused him to take up necromancy. His mighty magic, when put into practice, becomes trickery. Faustus does not become a god or even the emperor of the world--he is clown of the imperial court, performing on demand like a trained seal. The would-be assaulter of the throne of God gets no further than to become the practical joker at the papal court (The pope in this scene serves as a symbol of worldly pride and corruption, but Faustus is made the more ridiculous of the two). Faustus' dreams--to "Ransack the ocean for orient pearl,/And search all corners of the new-found world/For pleasant fruits and princely delicates" (p. 6)---become a bidding of the spirits to fetch grapes for the pregnant Duchess of Vanhold. And he is able with magic, wonder of wonders, to swindle an ignorant tradesman, to grow horns on the head of a scornful knight, and to drown his own sorrow in Southwark fun.

In the final scene of the play we see Faustus at the bottom of fortune's wheel--alone in his study as he was in the first scene. Suffering is now here to chasten and subdue; his twenty-four years are up. The Faustus of the end of the play ironically recalls the Faustus of the beginning; the play opens with a Faustus blinded by pride, a Faustus blinded by a species of presumption grounded in covert despair. Now despair is open and consistent; calling upon God's mercy, he calls upon Lucifer for mercy. Lucifer is his Christ. The vision of Christ's blood immediately vanishes; the upside-down vision is complete:

> Ah, rend not my heart for naming of *my* Christ;
> Yet will I call on him--*Oh, spare me, Lucifer*!
> *Where is it now*? 'Tis gone; and see where God
> Stretcheth out his arm and bends his ireful brows.

In the agony of his last moments Faustus makes us recall the Faustus of the first scene of the play. When the play opens we see a man who wants to rule the universe, be master of Nature; we see in Faustus the personification of all science which serves personal power instead of as with Oedipus the science which serves civic purposes. Faustus now calls on the universe which he wished to control to crush him, to hide him from consciousness and judgement; he seeks the watery oblivion toward which his Icarus flights have been tending: At the beginning of the play, Faustus is dissatisfied with his status as a human. In this final scene, Faustus is still dissatisfied with his status as a human being. Now he wants to be less than human, to give up his soul and be a thing again:

> O soul, be changed into little water drops
> And fall into the ocean, ne'er be found.
> My God, my God, look not so fierce on me!
> (p. 78)

With his final words Faustus reaffirms his original choice of separation: "Ugly hell, gape not--come not, Lucifer--I'll burn my books--ah, Mephistophilis!" (p. 78). The "ah" is the "ah" of love?

The chorus functions in the play to make time's and Fortune's movement clear; the chorus is not Sophocles' tragic chorus. In each of its three speeches, it emphasizes the passage of time. Though the play represents twenty-four years of Faustus' magical career, the twenty-four years for which he sold his soul, Marlowe creates the impression that the action takes place in twenty-four hours. At the end of the play we see Faustus alone in his study just as we see him at the beginning of the play--as though the day has come to an end. Faustus is desperately begging for more time, time to save his soul. A double time scheme emphasizes the shortness of life and the fleetingness of it all.

Comedy in Tragedy:

We have said that the movement of the *Oedipus* watches the reversal of his fortunes. So does the movement of Faustus. But the surface of that movement is 'troubled' by eddies, i.e., the play includes comedy. We have seen Faustus' use of magical power slowly emerge as vulgar trickery and horseplay. The tragic action of the play slowly acquires a comic surface as Marlowe demonstrates the disintegration of Faustus--his loss of dignity. We have been prepared from the very beginning of the play for this change. The comic scenes with the low characters everywhere serve as ironic commentary of Faustus' actions and aspirations.

In the first scene, Faustus presents himself as the logician. With a great deal of sophistry, he constructs a syllogism which argues for fatalism and rejects God's mercy. In Scene II we see Wagner, Faustus' servant, speaking the language of logicians: "That follows not necessary by force of argument that you, being licentiate, should stand upon it; therefore acknowledge your error and be attentive" (p. 11). This scene becomes a comment on Faustus' kind of logic—his reasonableness. Wagner's speeches make no sense. He is presented to us as a ridiculous figure trying to ape his master. But, when the two scenes are compared, it is Faustus who is the more ridiculous, Faustus who makes least sense. The comic action conveys in simple terms what subtle irony in the tragic action has just pointed out. Again, in Scene III we see Faustus, in all seriousness, conjure the devil; Faustus believes he brings Mephistophilis by his skill in necromancy, but Mephistophilis informs him that he has come because of blasphemy. This is emphasized in the next scene when Wagner and the Clown conjure. Faustus, who thinks that the devil's power is only granted to brave souls who risk "desperate thoughts against Jove's deity," fails to see that any man—richman, poorman, beggarman, thief--can sell his soul to the devil. The slapstick of this Wagner scene undercuts the seriousness with which Faustus conjures. Faustus' "noble" dreams also come under fire. When Faustus dreams of what he will have the spirits do for him, he says: "I'll have them fill the public schools with silk/Wherewith the students shall be bravely clad" (p. 7). In Scene IV Wagner and the Clown are the students, Faustus' students:

> Wagner: Well, wilt thou serve me, and I'll make
> thee go like *Qui mihi discipulus*? [my student]
> Clown: How, in verse?
> Wagner: No, sirrah, in beaten silk and stavesacre.
> (p. 20)

Again the low characters come out the more reasonable. Whereas Faustus confronts the devil Mephistophilis with, "Learn thou of Faustus manly fortitude,/And scorn those joys thou never shalt possess" (p. 18), the low characters have the proper reaction--they run in fear when the devils appear.

In Scene VIII, the uses Faustus has made of his magical power are undercut by the comic actions of Ralph and Robin. Using a stolen book of magic, they play tricks which parody the "feats" of Faustus. They steal from the Vinter the same things that Faustus has just stolen from the Papal court. At the end of the scene they are bullied by Mephistophilis just as Faustus is bullied by Mephistophilis. This scene also looks forward to later actions of Faustus. Ralph and Robin cheat the Vinter just as Faustus will cheat the Horse-Courser in the next scene. They try to use magic to gain the favors of Nan Spit, a common whore. Later Faustus will use his magical power to call forth Helen of Troy. The motivation is the same; whereas Nan Spit is a human being, Helen of Troy is a 'devil', and Faustus knows it. Ironically by the end of the play Wagner and Faustus have completely switched positions. Wagner is now the reasonable man and Faustus, the fool. Wagner is able to see beyond "profit" and "delight":

> I think my master means to die shortly
> For he hath given to me all his goods;
> And yet me thinks if that death were near
> He would not banquet, and carouse, and swill
> Amongst the students, as even now he doth...

SYMBOLIC PATTERNS:

If we look closely at *The Tragedy of Doctor Faustus* we observe that certain images recur throughout the play. These images unite to form powerful symbolic patterns which serve as comments on the actions of the play. In Scene V we see Faustus sign his soul away with drops of his own blood. When he parodies Christ by uttering "*Consummatun est*", we recall the purpose for which Christ shed his blood. The same imagery is repeated when the Old Man begs Faustus to "Break heart, drop blood, and mingle it with tears—" (p. 69). Then the Old Man adds:

> I see an angel hover o'er thy head,
> And with a vial full of precious grace,
> Offers to pour the same into thy soul:
> Then call for mercy and avoid despair.
> (p. 69)

The vial of grace, or Christ's blood, returns to Faustus in his final agony: "See, see, where Christ's blood streams in the firmament!--/One drop would save my soul--half a drop! ah, my Christ!" (p. 76). But Faustus cannot ask for mercy. Instead he looks for some escape from God's judgment and again the imagery is repeated: "O soul, be changed into little water drops/And fall into the ocean, ne'er be found" (p. 78). In all the passages cited above this imagery of drops of water and blood is used to describe means by which Faustus might escape eternal damnation. The imagery also recalls the water of baptism and the blood of communion. These images, symbols, color patterns in Faustus make it particularly vivid--particularly appropriate for creative work with paint, light, emblem, mime, or drama. "In the gloom, the pain gathers the fire about it/Cut is the branch that might have grown full straight/And burned is Apollo's laurel bough."

VII. MODERN DRAMA

A. Riders To The Sea

1. Teaching Procedure:

Although the plot of this apparently simple, straight-forward story appears to be relatively uncomplicated, the teacher would do well to make certain that the students are clear about the order and nature of events in the play before beginning class discussion on it. The play is quite short and the language and imagery are simple. It is therefore probable that the greatest difficulty the teacher will experience in presenting it will be the readiness on the part of the students to dismiss the play on the assumption that they understand it. The questions provided in the Student Packet are designed to combat this, to slow the students down, and the questions should make them consider what lies beneath this surface simplicity of the play. The play can be used for work in play reading which reaches toward an understanding of intonation and dialect and Irish speech.

The theme of this play is closely connected to the types of considerations the students were introduced to in Man's Picture of Nature (Grade 10). When the students have completed the questions in the Student Packet, it may be helpful to have them compare this play to Crane's The Open Boat, which they read for the Nature unit.

2. General Aids:

The teacher should consult the bibliography at the beginning of this unit for background material on Synge and on Irish drama. The following material is NOT to be presented to the students, but is included so that the teacher can guide them in their creative work on the play.

THE PLAY ITSELF:

It should be apparent to the students from the Scene or Stage Setting that the play will deal with a poverty-stricken class of islanders who make their living as fishermen. Their struggle for mere existence is conveyed in numerous ways throughout the play. The hardness of their lives is indicated in the [illegible] opening lines of the play which describe the actions of Cathleen: she "... finishes kneading cakes, and puts it down in the pot-oven by the fire; then wipes her hands, and begins to spin at the wheel." This is the type of existence which allows no waste of time or motion, not even for a twenty-year-old girl.

The somber and expectant mood or atmosphere which characterizes the entire play is presented at the opening of the first scene with a minimum of words and actions. The girls speak in whispers; both their words and their actions show restraint. Their first reference to Maurya conveys the sense of suffering and exhaustion that hangs over the cottage: "She's lying down, God help her, and may be sleeping, if she's able." The bundle hidden beneath the shawl and the conversation that ensues concerning it serve to further heighten this sense of somber expectation. Such things as Cathleen's sudden action of stopping the wheel and listening when Michael's name is mentioned indicate the anxiety and strain of the situation, a situation which at first glance appears to be a simple, everyday scene.

With a conciseness that is characteristic of the entire play, Synge has combined in this first conversation between Cathleen and Nora both the background necessary to understand what is happening, and the suspense that will carry the movement of the play. The suspense is in part created by the anxiety apparent in both the girls--anxiety lest their mother hear of the bundle, anxiety that the bundle will confirm the death of Michael, and anxiety over their brother Bartley's proposed journey. The suspense is sustained by the bundle itself. At the very beginning of the scene our attention is focused on the bundle, but the contents of it are not yet apparent to us. The contents become apparent during the course of the converaation, but an investigation of these contents is cut short by the entrance of Maurya, and the suspense is retained.

The importance of the sea should become clear to the students very early in the play. It so fills the minds of the characters that it shapes their actions, their moods, and their very fates. The hostile role the sea is to play is indicated in the opening scene when the door that Nora has half closed is flung wide by wind from the sea. This initiates the girls' discussion of Bartley's journey, and dramatizes their anxiety over it. The phrase "when the tide turns" runs through the dialogue of the first scene like a prophecy. The constant talk of weather and the sea conveys the feeling of impending disaster.

This feeling of impending disaster is felt to a greater or lesser degree by all the characters in the play. When Maurya enters we see that worry and a sense of doom hang heavy on her. She gropes for comfort, but she herself does not believe in what she is saying: "He won't go this day with the wind rising from the south and west. He won't go this day, for the young priest will stop him surely." Maurya knows he will go, and that he will not come back.

It is at this point Synge introduces a contrast which will be present throughout the rest of the play. It is the contrast between age and youth, between experience and innocence. Maurya's statement not only gropes for comfort, it also demonstrates how desperately aware she is of the situation and its meaning, of the hopelessness of fighting the sea. To her statement Nora unthinkingly replies: "He'll not stop him mother, and I heard Eamon Simon and Stephen Pheety and Colum Shawn saying he would go." Nora does not grasp the meaning of the situation. She feels the impending disaster, but she is young and still full of hope. The contrast between age and youth is futher enforced by the difference of opinion between "the young priest" and Maurya: "... the almighty God won't leave her destitute, with no son living." This piece of faith is to be ironically belied. Youth has yet to learn, and as Maurya says:

"It's little the like of him knows of the sea..."

With the entrance of Bartley, Maurya braces herself for a final struggle to save her last son from the sea, a struggle she knows she will lose. The conversation which follows is a battle of wills between mother and son. Maurya tries desperately to break her son's determination to wrestle a living from the sea. It is the great irony of the play that the sea which provides these people with a living, sustains their lives, inevitably destroys them. This struggle of wills is not fought openly, but by suggestion. Bartley directs his remarks to Cathleen and Nora, rather than to his mother. And Cathleen and Nora are hardly aware that a battle is going on.

The stage directions describe Bartley as "speaking sadly and quietly." Bartley is already a doomed man, and he, like Maurya, knows it. His sisters do not yet see this. It is something they will learn with age and experience--that there is no escape from the sea, not even the hope of escape. Maurya is fighting the ageless traditions of the islanders, traditions which are imposed by the very nature of their existence, and these traditions and her own nature prevent her from either begging or ordering Bartley not to go. Instead she must catch at his words and wring from them some reason why he should remain at home: "It's a hard thing they'll be saying below if the body is washed up and there's no man in it to make a coffin, and I after giving a big price for the finest white boards you'd find in Connemara." Her arguments do not stand up, as [illegible] Bartley demonstrates, but she has indirectly reminded him of the fate of other "riders to the sea."

It is the very nature of their existence that Maurya is really fighting, and as Bartley resists her she must intensify her attack: "If it was a hundred horses, or a thousand horses you had itself, what is the price of a thousand horses against a son where there is one son only?" This is her protest against a way of life which compels men to constantly risk their lives in order to gain a bare subsistence. Her statement carries the question: is life worth having on such terms?

Bartley ignores his mother and gives directions on running the house to his sisters. But his words are really intended for Maurya. They are the same kind of empty comfort that she herself indulged in earlier. He speaks as if his absence will be only temporary:

> Let you go down each day, and see the sheep aren't jumping in on the rye, and if the jobber comes you can sell the pig with the back feet if there is a good price going.

And again:

> If the west wind holds with the last bit of the moon let you and Nora get up weed enough for another cock for the kelp. It's hard set we'll be from this day with no one in it but one man to work.

And finally:

> I'll have half an hour to go down, and you'll see me coming again in two days, or in three days, or maybe in four days if the wind is bad.

But it is clear to both Bartley and Maurya that he is departing forever, and even his words, which are meant to reassure, carry this conviction.

At last Maurya brings the struggle into the open: "Isn't it a hard and cruel man won't hear a word from an old woman, and she holding him from the sea?" Cathleen answers her, and unwitiingly conveys what has been beneath the entire exchange between mother and son: "It's the life of a young man to be going on the sea, and who would listen to an old woman with one thing and she saying it over?" The battle between mother and son is itself a ritual. Both know what the outcome will be. Life demands that men must go to sea, and women must mourn for them. It is an endless and futile cycle of dying generations. But this ritual is not without pain or meaning for the participants. Maurya sees it as a world inverted: "In the big world the old people do be leaving things after them for their sons and children, but in this place it is the young men do be leaving things behind for them that do be old."

The scene between mother and son serves as a preparation for the approaching death, and what immediately follows heightens this prophetic atmosphere. Cathleen and Nora fuss over the cake they have forgotten to give Bartley. Their real concern is for his safety, and their words unconsciously express what is in everybody's mind: "And it's destroyed he'll be...It's destroyed he'll be surely." But Cathleen and Nora still have hope, hope that was long since lost in Bartley and Maurya. To some extent the audience shares this hope, but it is dashed in us, though not in the girls, when the bundle is finally opened. The fate of the "riders to the sea" is confirmed by the contents of the bundle. Cathleen and Nora express the futility of it all, but they do not seem to realize the full meaning of their words:

> Ah, Nora, isn't it a bitter thing to think
> of him floating that way to the far north;
> and no one to keen him but the black hags
> that do be flying on the sea?

Again:

> And isn't it a pitiful thing when there
> is nothing left of a man who was a great
> rower and fisher, but a bit of an old shirt
> and a plain stocking?

After this lament the girls return to the everyday tasks of life. This ritual, or conspiracy, to hide the truth and prolong hope is present throughout the play. Cathleen and Nora are now intent on hidding the truth from their mother, of allowing her to hope for a few more hours that Michael lives. The girls fail to realize that their mother lost all hope long ago—her display of hope is now a formality, a ritual, like the attempt to stop her men from going to sea.

When Maurya returns to the cottage even the pretense of hope is gone. She has seen a vision which confirms the fate of Bartley, a vision which is symbolic of all the pain and suffering she has endured as the mourner for the "riders to the sea." In what follows she relives a whole lifetime of suffering:

> There was Shemus and his father, and his own
> Father again, were lost in a dark night, and
> not a stick or sign was seen of them when the
> sun went up. There was Patch after was drowned
> out of a curagh that turned over. It was sitting
> here with Bartley, and he a baby, lying on my
> two knees, and I seen two women coming in, and
> they crossing themselves, and not saying a word.
> I looked out then and there were men coming
> after them, and they holding a thing in the
> half of a red sail, and water dripping out of
> it—it was a dry day, Nora—and leaving a track
> to the door.

But this too is ritual. Maurya directs her speech to her youngest daughter. It is the initiatinn of Nora into the ritual of death. Nora then looks out and sees what her mother has just described, only this time it is Bartley they are bringing home: "They're carrying a thing among them and there's water dripping out of it and leaving a track by the big stones." Nora is in the same position her mother was years ago--the endless cycle. The scene implies that the rest of her life will be like Maurya's--that she too has become the mourner for the "riders to the sea."

Maurya's description of the past, and its exact parallel in the present, reenforce the sense of futility and hopelessness in the struggle of the islanders against the sea. In her reaction to the present, to the death of Bartley, Maurya fuses all the suffering and death of the past and the present into one meaningless whole: "Is it Patch, or Michael, or what is it at all?" Again the lament is followed by the practical considerations of the situation, the ritual that makes life bearable. "It's a great wonder she wouldn't think of the nails, and all the coffins she's seen made already."

The last scene of the play is a requiem conducted by Maurya not only for Bartley and the other men of her family, but for all the islanders, and ultimately for all men. She is The Mourner. Facing a hostile universe, she comes to represent all humanity. In this last scene she is beyond grief. There is only calmness left, the calm of death. She places the cup mouth downward on the table to symbolize that her life has been drained to the dregs, and utters her last words to the sea: "They're all gone now, and there isn't anything more the sea can do to me..." The struggle inherent in their existence has been resolved. "It's a great rest I'll have now, and great sleeping in the long nights...if it's only a bit of wet flour we do have to eat, and maybe a fish that would be stinking." In this speech she ties the disaster to the everyday things of life, and we reaall how the disaster and the everyday events are inexorably related.

In her final speech Maurya is beyond all pain, all grief. She has exhausted her capacity for suffering, and now there is peace and a little consolation. The reality is death, and in her final acceptance of it she moves beyond its claims:

> Michael has a clean burial in the far north,
> by the grace of the Almighty God. Bartley
> will have a fine coffin out of the white
> boards, and a deep grave surely. What more
> can we want than that? No man at all can
> be living forever, and we must be satisfied.

She has answered her own question, and her answer is: life is worth having on such terms.

B. Death of a Salesman (optional, but recommecded)

1. Teaching Procedure:

In many ways this play will probably be more difficult for the students to deal with than any of the other plays they have studied in this unit. The situation of the play is closer to them; it portrays the everyday life with which they are familiar, and so the danger of preconceived ideas and values which may distoft their understanding of the play is greater. The students must not be allowed to generalize from their own experiences to explain the play or to rely on vague terms and ideas like "the common man" to express themselves. They must be made to stick to the play and see what the play itself is saying.

The play presents an aspect of their own culture in their own day. But it should be emphasized to them that this is one aspect of the culture, not the culture as a whole. They should not view it as a comment on or a condemnation of the culture as a whole. They should exercise their critical ability in trying to see whether or not the vision the play presents is valid, and its validity must be judged in terms of the play itself (e.g. given the character of Willy Loman and the world he operates in, are his actions what we would expect?), not in terms of the students' experience (e.g. "I know salesmen aren't like that because I know one"). The students must see that the concern of the play is not professions; it is values.

The ideas that the students will be introduced to in studying this play will be more fully dealt with in the 11th grade unit American Materialism.

2. General Aids:

The teacher should consult the bibliography at the beginning of this unit for material on modern drama in general and Arthur Miller in particular. The following material is NOT to be presented to the students, but is included so that the teacher can guide them in their discussion of the play.

THE STRUCTURE OF THE PLAY:

(See introduction to Death of a Salesman in the Student Packet).

The structure is one of the most important aspects of this play, and the students must see how it operates if they are going to understand the play. The structure of this play is not based on a conventional time scheme; it is not a series of flash-backs. It represents what is going on in Willy Loman's mind, and it reflects the problem Willy faces. Past and present are mixed and present themselves simultaneously to Willy. In his desperate attempt to justify his life, Willy has destroyed all the boundaries between then and now, and exists in one unbounded, agonizing consciousness of all his life. The students must try to visualize the play as it would be presented on stage to get the full effect of this structure. As they make critical points, they should act out or determine how they would act out; they should imagine how Miller would have done the scene on a purely naturalistic stage or on a purely symbolic one--Miller's stage is somewhere in-between.

Willy's character is most fully developed in the play by its structure. One scene follows another to show us how Willy is thinking, what kind of a person he is, what he represses and what he dwells on. The structure emphasizes Willy's central problem--his inability to distinguish between illusion and reality. Throughout the play the contrast between illusion and reality functions for the audience as an ironic comment on Willy Loman. Willy is a man who has built his life on a dream, the wrong dream, and when the play opens we see him trapped by his dream. The agonies of the present send Willy's mind back to the happy days of the past, back to the days when the dream was not so obviously wrong. But the audience is ironically shown that the happy days of the past were not so happy, that the dream Willy carried in those days (and still carries) is the cause of the agony in the present.

The collision of illusion and reality is destroying Willy, and this is made evident from the very beginning of the play. "A melody is heard, played upon a flute. It is small and fine, telling of grass and trees and the horizon" (p. 11). The flute music functions throughout the play to introduce the dream, the illusion of nature which is that visualized by the Romantics--innocent, regenerate, capable of bringing man back to his natural goodness. The dream-like quality of this music is a sharp contrast to the stage setting which tells of sterile and depressing reality--the vault of apartment houses that surrounds Willy Loman's house. But the house itself presents a contrast to reality: "An air of the dream clings to the place, a dream rising out of reality"(p. 11).

The play opens with Willy returning from Yonkers because he just can't keep his mind on driving: "I opened the windshield and just let the warm air bathe over me..."(p. 16). Willy can no longer function; he is lost in his dream. When Linda suggests that they take a drive in the country and open the windshield, Willy realizes that he was thinking of the 1928 Chevy. Throughout the rest of the play Willy's mind keeps returning to the years around 1928, the "happy" years when Biff was high school senior and was the captain and star of the football team.

In Act I we see that Willy's illusions and his returns to the past become more pressing when his son Biff is at home. Willy can not stand separation from his son, yet he feels that Biff and he are irreparablely separated, and so his mind goes back to the days when they were "pals". Biff has gone West to seek an innocent "nature" on the frontier. Willy feels guilty; he feels that Biff is spiteful and unforgiving over the incident in Boston years ago (the Woman), but he clings to his dreams for Biff. He allows no one but Willy Loman to criticize Biff; if anyone else does, he immediately defends him. Thus we see him saying within the span of a few speeches: "Biff is a lazy bum!" and, "There's one thing about Biff--he's not lazy" (p. 16). His dreams for himself have been transferred to Biff; he lives in an illusion of what Biff is and can be, as he does about himself. Later when Charley advises Willy to forget Bi that he is no good, Willy answers: "Then what have I got to remember?"(p.44). All of the "flash-backs" in the play center around Willy's relationship to Biff.

The structure of Act I clearly shows us the workings of Willy's mind. Failure in the present (reality) is always met by Willy with a memory of "success" in the past. The sense of guilt in the present is set against the sense of innocence in the remote past. Willy's return from a trip on the same day he set out, the reality of being a beaten man, is juxtaposed in his mind with a happy return in the past. We see this vision of the past through Willy's eyes, yet we see much more than Willy does. The happy return of the past represents not success, but a less obvious failure than that which faces Willy in the present. The young Willy we see in these scenes differs very little from the Willy of the present. We see the same rapid shift of moods in him; within a few lines he goes from the height of ecstasy to the depths of despair. When the boys are polishing the car Willy says: "Chevrolet, Linda, is the greatest car ever built"(p. 34). But when Linda reminds him of the bill for the carburetor, Willy says: "That goddam Chevrolet, they ought to prohibit the manufacture of that car"(p. 36). We are shown that in both the past and the present Willy's lies dominate him. The twelve hundred gross that Willy boasts of turns out to be not even enought to pay the bills. The popularity Willy boasts of before his sons turns into loneliness and frustration before his wife.

Although Willy tries to focus on the happy times of the past, his memories are always overshadowed by his present relationship to Biff. He is tormented by the break with his son. Thus when Linda says, "Few men are idolized by their children the way you are"(p. 37), Willy's happy memory is interrupted by a memory of the Woman, a reminder that Biff no longer idolizes him. Here Miller is using an illusion within an illusion, and the subtle mix-up of time becomes a comment on Willy. The scene with Linda and the boys takes place just before the big football game in the fall of 1927. It is interrupted by a scene with the Woman, but Willy's affair with the Woman did not actually begin until the following spring. The way in which Willy mixes up the time in his mind shows the guilt he still feels over this part of his past, and the stockings are symbolic of that guilt. But Willy's guilt feelings are really centered around Biff, not Linda. When the scene changes back to Linda and the boys, Willy's guilt is projected into the past. He promises he will make it all up to Linda and he is angry that she is mending stockings, even though he has not yet had the affair with the Woman. He then becomes angry with Biff for not studying math. The real cause of Willy's anger is Biff's later discovery of Willy's unfaithfulness.. The illusions of the happy times have become mixed in Willy's mind with the later break with his son and the result is that all his memories torture him.

The scene with the Woman also serves to demonstrate that Willy is not really "well liked". It is clear that Willy's affair is not that of a lustful man; it is the attempt of a lonely and frustrated man to bolster his ego. He is not here the American romantic seeking an innocent Eden but the ordinary American Babbitt--seeking to prop himself up, to exploit nature, to get ahead through bolstering and exploiting. The affair gives Willy the illusion of being "well liked" and having "personal attractiveness."

The next illusion that Willy has in Act I is when he is playing cards with Charley, and Ben appears. Willy resents Charley because, with all the wrong values, Charley has achieved success. Charley represents everything opposed to what Willy believes in--he has no personal attractiveness, is not athletic, cannot handle tools, he is liked but not "well liked" and doesn't care to be, and worst of all, he is always trying to make Willy face reality. Ben is introduced as Willy's idea of the proper kind of success. He is one side of Willy's ideal, the antithesis of Charley. Ben's code is brutal--survival of the fittest, never fight fairly or you won't get out of the jungle. Ben is nature's exploiter, the anti-romantic, the man who treats the jungle as Willy treated the Woman and his clients.

In Act II, when Willy is fired, Ben reappears. Miller has achieved devastating irony in this scene by juxtaposing it to the exchange that has just taken place between Willy and Howard. Willy has just lost his job, his dream has been proved utterly wrong, but Willy immediately reasserts the dream in the flash-back with Ben. Ben is Willy's proof that his dream is not wrong. But ironically the flash-back itself shows that Willy's dream is wrong. Ben offers Willy a great opportunity in Alaska, but Linda says that Willy is doing very well where he is and reminds him that old man Wagner has promised to make him a member of the firm. Exploitative evil requires complete commitment--what Ben does not have; he has two dreams, one of an innocent relationship with nature and men and one of a guilty one. And he wavers between them and their mutally exclusive joys. As Ben leaves, Willy yells after him that he is going to make a success of himself right here in Brooklyn. The preceding scene has just shown us what kind of success Willy has made of himself.

The scene in Willy's mind now shifts to the day of the big football game, Willy's one day of triumph (--undercut by the fact that Willy has just been fired). The scene shows Willy childishly attacking Charley for showing no great interest in the game. The irony of this, how petty and ridiculous Willy really is, becomes clear when we recall that during all of the time that Will is reviewing this part of his past, he is heading for Charley's office to borrow money. The scene in Charley's office continues this irony, irony built on the contrast between illusion and reality. Bernard, the puny little kid who is "liked" but not "well liked," is present as a successful lawyer, the 'star' football player is now a bum. Bernard enters with a tennis racket; Bernard is now the athlete, not Biff.

The final flash-back of the play is the key scene in the relationship between Willy and Biff. It has been prepared for in a numerous ways during the course of the play--Biff's accusation early in the play that his father is a fake, the earlier appearance of the Woman, Willy's anger at seeing Linda mending stockings. The scene with the Woman is the scene Willy has been trying to blot out, but he is forced to look at it because he has come to the end of the line in failure. When Biff recounts his failure at Oliver's, Willy recalls Biff's earlier failure of the math exam; ultimately, he recalls his own failure as a father. He could not cling both to the dream of innocence and to the dream of exploitation.

At the end of the play we still see Willy clinging to his dream; Ben reappears to assure him that he is right. Willy is convinced that if he commits suicide his dream will be realized in Biff; with the insurance money, Biff's true worth will be known. By exploiting his own "nature"--taking his life--he will win in the competition. He thinks he will regain Biff for his values when Biff sees people from all over New England come to Willy Loman's funeral. Ironically, in the last exchange between Willy and Biff, Biff, trying to make Willy face reality, only convinces Willy of his greatness. When Biff breaks down and cries on Willy's shoulder, Willy can only see that Biff loves and needs him. This knowledge, this sense of being needed, this innocent relationship, finally gives Willy sufficient motivation to exploit himself to the final point; he will leave something for Biff, he will make Biff win.

Willy's 'noble death' is immediately followed by the Requiem. The Requi serves as the final proof that Willy Loman's dream was wrong, all wrong. Nobody comes to Willy's funeral except Charley and Willy's family. Willy was not "well liked". The death of Willy Loman, like his life, has been futile. He is destroyed by the crossing of his frontier dream and his dream of success an is never aware of it. He holds fast to the very end.

WILLY LOMAN:

Willy is revealed as a man possessed and destroyed by a dream. The dream? What is it but a success story, success built on the silly values of the Babbitt's, the Horatio Alger stories, the get-ahead ads. The play is set in a commercial, competitive world. In this world where the people who get ahead are those with initiative and creativity, Willy Loman "rings up zero". His profession as a salesman is symbolic of this. He is the man who peddles things owned by someone else and made by someone else; he is the man who has neither initiative nor creativity--the "low-man" which his name puns on. To rationalize and give meaning to his position in this world, Willy has the dream introduced with flute music--Willy's father made flutes and traveled all over the rugged frontier country selling them (he was a man with both creativity and initiative). Willy's father was the 'innocent man' free, granted natural competitiveness, irresponsible, and ultimately not exploitative until he left. The dream of exploiting Nature and other men and the dream of innocent rapport with Nature and other men are for Willy, in part, rival dreams; in part, they are complimentary as Willy increasingly comes to regard selling, winning, seducing, taking in, following Ben, as road to innocence, love, rapport, the reconquest of the Garden. The only thing that Willy Loman has is himself, this is what he bases his dream on. He is the salesman who tries to sell his 'self' and forces other than those to which Faustus sold his 'self'. Faustus sells his soul to the pride of separation from grace; Willy sells his soul to the pride which separates from daylight reality. When Willy was a young man he saw a salesman named Dave Singleman who was so "well liked" that he could pick up a phone and make tremendous sales right from his hotel room. When Singleman died, buyers [illegible] and salesmen from all over the country came to his funeral. Willy has modeled his whole life after this salesman, but "low-man" is not "single-man". Willy's dream of success is based on the idea that he has "personal attractiveness", that he is "well liked" and that being well-liked will open any door. The greatest irony of the play is that Willy has neither "personal attractiveness" nor is he "well liked". He can only look for the Hollywood sheen, the winner in the beauty contest, the favorite idol of the personality cult and of the worship of beauty and physical prowess. He does not know what character, responsibility, and craftsmanship are.

Though Willy doesn't have "personal attractiveness", he refuses to give up his dream and transfer his faith in beauty to his son. Biff-Adonis will be the dream man.

How to make a beautiful man a success? Willy's command teaches, "Anything goes so long as you're will liked". Biff steals a football, and Willy says that the coach will congratulate him on his initiative; his sons steal lumber from the neighboring lot--he sends them to show Ben what "fearless characters" they are. Biff puts the force of his commands right: "...I never got anywhere because you blew me so full of hot air I could never stand taking orders from anybody!" (p. 131). When the play opens it is becoming increasingly obvious that the dream has gone wrong; Willy's whole life is a mess. Things are closing in, "the woods are burning", but Willy refuses to admit. The play is Willy's last desperate attempt to realize in life a dream. In the end the only way that Willy can find to create his dream is suicide; the jungle requires total ruthlessness if one is to get its diamonds. Willy dies for the dream; the death becomes the final token that the dream was all wrong.

Willy Loman is a petty, vicious little man. We sympathize with him? Partly we do, perhaps because, as Linda says, he's a human being and a terrible thing is happening to him. More important, we feel that he is more sinned against than sinning. His values and ultimate failure are the values and failures of American society. Having swallowed the myth of "personal attractiveness", a disguised version of Ben's survival of the fittest code--he is both big enough and disciplined enough in realizing his fantasy to turn the myth's destructiveness in on himself. The Loman shouldn't have had to measure up. Miller's vision is the tragedy of a system that "eats the orange and throws the peel away"--"a man is not a piece of fruit!"

LINDA:

Linda's character remains rather shadowy throughout the play. She seems to be a simple woman who loves and believes in her husband despite everything; subconsciously she seems to wish to destroy Willy as an act of revenge--cf. her failure to remove the hose. Linda seems to be the archetype of the eternal wife, faithful and acquiescent. She is perhaps best characterized by the stage directions;

> Most often jovial, she has developed an iron represstion of her repression to Willy's behavior--she more than loves him, she admires him, as though his mercurial nature, his temper, his massive dreams and little cruelties, served only as sharp reminders of the turbulent longings within him, longings which she shares but lacks the temperament to utter and follow to their end.
>
> (p. 12)

Linda serves as a ultimately cruel ego-support for Willy, an ego-support which, by keeping him from facing reality, ultimately destroys him. Whenever Willy feels reality closing in on him and forced to admit what he really is, Linda is there to assure him that he is "well liked", that he has great "personal attractiveness". Willy is trapped in his own lies because of Linda is unfalteringly willing to sustain his image of himself.

Linda serves as a contrast to Willy in her attitude toward their sons. Willy comes first with her; when her sons reject Willy, she refuses to recognize them as sons. Willy, on the other hand, is so tied up in Biff that he feels that even Linda is a threat to Biff's love for him. Many of his outbursts against Linda are the result of his jealousy over attention Biff gives to her.

Linda seems often to be Miller's spokesman but her acquiescence in a lie is a culpable as Willy's creation of it. Her speeches emphasize the faults in the world in which the play operates. Linda finally states the significance of what happens to Willy Loman. Here she seems to speak for Miller:

> I don't say he's a great man. Willy Loman never made a lot of money. His name was never in the paper. He's not the finest character that ever lived. But he's a human being, and a terrible thing is happening to him. So attention must be paid. He's not to be allowed to fall into his grave like an old dog. Attention, attention must finally be paid to such a person.
>
> (p. 56)

The question is: "What kind of attention?"

BIFF:

On the surface Biff Loman appears to be different from his father. When the play opens, we see that he tremendously resents Willy. Willy is a fake. Although Biff has rejected his father, he has not rejected Willy Loman's values. He still has a vision of an innocent nature; he still loves to go around spoiling it (i.e. his sexual exploits). Biff is caught up in the belief in "personal attractiveness", in the lies about himself that Willy has always advanced. He too is lost in illusions about himself. In our first view of Biff in Act I we see his tendency to cover reality with the picture of his own self-importance. In talking about the past and his job with Oliver, he boasts:

> ...when I quit he said something to me. He put his arm on my shoulder, and he said, "Biff, if you ever need anything, come to me."
>
> (p. 26)

A flash of common sense comes a few lines later when Biff says, "I wonder if Oliver still thinks I stole that carton of basketballs"(p. 26). He and Happy then indulge in dreams of buying a ranch out west—the same romantic vision of innocence with nature that led Willy's dad west, that led Willy to first place his house in the country. But they are really spoilers. The boy that Willy sees as so promising, as Adonis, we see as a cheater and a thief. Biff has accepted Willy's values; he has none of his own. When Willy asks Biff about Bernard, Biff replies: "He's liked, but he's not well liked" (p. 33).

The idea of being "well liked" occasions the break between father and son. When Biff flunks his math exam, he goes to Boston to find Willy because he believes that he is so "well liked" that he can get the teacher to change the grade. He sees his father as spoiler—as a grubby Ben. All he can conclude from what he learns in Boston is that his father is a fake liked by his mistress and not well liked by the world. The father image that Willy has instilled prevents Biff, who is unable to accept his father as a weak, lonely man caught between two visions, from being able to forgive. All he sees is that the values which Willy has taught him have been betrayed, that his father does not, in this scene, sustain a good surface. He is disillusioned. But he still trusts in surfaces. That trust is not wrong—not even when it prevents forgiveness. Yet he still holds on to his father's ideas, romanticizes his fourteen years of failure, and drifts into a testimonial for the outdoor life and freedom. Toward the end of the play we find out that the three months prior to his return home were spent in a Kansas City jail for stealing a suit of clothes. Yet "Oliver will lend him ten thousand dollars to start a business."

The turning point for Biff comes when he feels compelled to steal Oliver's fountain pen while waiting for his interivew. This petty theft makes Biff take a good look at himself and he finds out that he is "a dime a dozen" and so is his father. This also is the point at which his attitude toward Willy changes. He no longer thinks of his father as just a "fake." He can sympathize with Willy when he sees him for what he is--a weak man but a man who has some good in him. For the first time, he loves his father. Willy Loman cannot endure love. He kills himself. At the end of the play Biff is able to look realistically at Willy Loman's death and life: "He had the wrong dreams. All, all, wrong...He never knew who he was" (p. 138). Biff's change at the end of the play goes a bit beyond the general picture of despair and futility of the last scene.

HAPPY:

Happy translates Willy's code of "personal attractiveness" into a worship of pure sexuality and virility. In the first scene in which Happy is introduced, we see him boasting to Biff of his sexual conquests; the vulgarity of the scene demonstrates the true vulgarity of Willy Loman's dream of exploitation. Happy's philosophy of life is something like "might makes right":

> Sometimes I want to just rip my clothes off in the middle of the store and outbox that goddam merchandize manager. I mean I can outbox, outrun, and outlift anybody in that store, and I have to take orders from those common, petty sons-of-bitches till I can't stand it any more.
>
> (p. 24)

He is Ben working in a sordid and trivial jungle. Biff agrees with Happy's views though he doesn't express himself on them so openly.

Throughout the play Happy is overshadowed by Biff, and Happy's plays to get Willy's attention include, from the past, his repeated phrase, "I'm losing weight, you notice, Pop?" (p. 29f), and, from the present, his repeated phrase, "I'm going to get married." Happy is simply rejected, perhaps because he doesn't possess sufficient "personal attractiveness" to fit Willy's dream. In this light, Happy's remark about Willy in the restaurant--"No, that's not my father. He's just a guy." p. 15)--~~44~~fits.

Happy, the unloved, is the son most affected by Willy's lie at the end of the play. Love and frankness destroy Willy's dream in Biff; Hap knows neither and cannot see through the illusion. Loveless, competitive, and empty, he carries on with Willy's dream to its final destructive end:

> All right, boy. I'm gonna show you and everybody else that Willy Loman did not die in vain. He had a good dream. It's the only dream you can have--to come out number one man. He fought it out here, and this is where I'm gonna win it for him.
>
> (p. 139)

BEN:

Ben is a symbol rather than a character. He appears when Willy is most depressed, when he has received most forceful proof that the dream is wrong--appears and represents the 'success story' insofar as success is built on driving energy and brute-force: "...when I was seventeen I walked into the jungle, and when I was twenty-one I walked out. And by God I was rich" (p. 48). His code is a more brutal and realistic version of the worship of "physical attractiveness": with him it is simply "might makes right". Ben is 'the system' that dominates the world of the play, the system which in great part is responsible for the destruction of Willy Loman. What Willy doesn't see is that Ben does not believe at all in the individual; he is quite willing to eat the orange and throw the peel away. As he tells Biff, "Never fight fair with a stranger, boy. You'll never get out of the jungle that way"(p. 49). The jungle is of course Willy Loman's world, 'the system' a world Willy doesn't understand and which consequently destroys him. The jungle for Willy becomes "the woods": "The woods are burning."

When Willy says "the woods are burning," he means that life is closing in on him, time is running out, and he has not yet justified his dream. His Ben is always on his way to catch a train and can only stay a few minutes because success must conquer time: "When I was seventeen I walked into the jungle, and when I was twenty-one I walked out." As the play progresses, Ben becomes a symbol for the time running out on Willy Loman. In the last scene of Act II we see Ben pushing Willy to his death with, "Time, William, time!" (p. 135). Time has run out and this is Willy's last chance to prove his dream was good. Fortune turns in this play too. Ironically the "jungle" Willy thinks he is conquering is not the world or the system; it is death; the jungle has conquered.

CHARLEY:

Charley has attained a limited degree of success in the "jungle," has managed to hold on to human decency (unlike Ben) and human dignity (unlike Willy). He has managed to do this because he doesn't care about conquering the jungle, has no dreams of success. If there is any hope in the world the play presents, it is with Charley. He is someone who hasn't been sucked in by the system. And for this he is resented by Willy as the contradiction of everything Willy believes in. He cannot take a job with Charley; that would be to admit that his whole life, his values, his dreams were wrong.

The contrast between Charley and Willy gives us the proper view of Willy Loman, showing us what is wrong with Willy's dream. But though we should reject Willy's dream and Willy's values, Charley as normative figure reminds us that we should not reject Willy the man. In the Requiem, it is Charley who speaks for the playwright:

> Nobody dast (sic) blame this man. You don't understand:
> Willy was a salesman. And for a salesman, there is
> no rack bottom to life. He don't put a bolt to
> a nut, he don't tell you the law or give you medicine.
> He's a man way out there in the blue, riding on a smile
> and a shoeshine. And when they start not smiling back--
> that's an earthquake. And then you get yourself a
> couple of spots on your hat, and you're finished.
> Nobody dast (sic) blame this man. A salesman is (sic)
> got to dream, boy. It comes with the territory.
> (p. 138)

THE NATURE THEME:

Death of a Salesman opens with: "A melody is heard, played upon a flute. It is small and fine, telling of grass and trees and the horizon"(p. 11). Later we find out that Willy's father made flutes and traveled all over the country selling them as outdoor man, and pioneer, and, at bottom--or beginning--Willy Loman's values are the values of outdoor life, the kinds of things that make for success in the wilderness--physical strength and hardiness, being able to work with one's hands, virility: the virtues of the pioneer spirit; but when these values are carried into the environment of a mechanized society what happens to them? They become a worship of physical appearance, of sports, of the power over other men which money gives. In Ben's case they become "might makes right".

Willy has built his dream on values that do not apply to the world he lives in; he has mistaken "the jungle" for "the woods". That mistake creates his two interpenetrating dreams. As Willy is sucked into the competitive jungle, he increasingly refuses to admit that he doesn't belong in the world of the city, that he can't be a success in the impersonal world of mechanization. And his dream of success in this world makes him contemptuous of any other kind of life. When Biff says, "...we don't belong in this nuthouse of a city! We should be mixing cement on some open plain, or--or carpenters," he replies, "Even your grandfather was better than a carpenter" (p. 61). Even Biff believes that success can come to him only in the city. After discussing how much he loves to be outdoors working and the beauty of nature, he suddenly says:

> And whenever spring come to where I am, I suddenly get the feeling, my God, I'm not getting anywhere! What the hell am I doing, playing around with horses, twenty-eight dollars a week! I'm thirty-four years old, I oughta be makin' my future. That's when I come running home.
>
> (p. 22)

He turns exploiter and competitor. At the end of the play Biff realizes that he doesn't have to make a success of himself in the city; that he, like Willy, did not know who he was:

> And in the middle of that office building, do you hear this? I stopped in the middle of that building, and I say--the sky. I saw the things that I love in this world. The work and the food and time to sit and smoke. And I looked at the pen and said to myself, what the hell am I grabbing this for? What am I doing in an office, making a contemptuous, begging fool of myself, when all I want is out there, waiting for me the minute I say I know who I am!
>
> (p. 132)

Although Willy refuses to admit he can't be a success in the city, it is clear that he isn't happy there, In Act I we see him saying:

> The way they boxed us in here. Bricks and windows, windows and bricks...The street is lined with cars. There's not a breath of fresh air in the neighborhood. The grass don't grow any more, you can't even raise a carrot in the back yard. They should've had a law against apartment houses.
>
> (p. 17)

The "boxed-in" imagery becomes symbolic of Willy's state of mind; reality is beginning to close in on him and threaten his dream. His dream, just like the grass or the carrot, won't grow or be fulfilled in the city, but Willy won't give up. At the end of the play we see Willy frantically trying to get seeds planted in his back yard, making a last desperate effort to make something grow: "I've got to get some seeds, right away. Nothing planted. I don't have a thing in the ground"(p. 122). Seeds to save a dream.

5

A CURRICULUM FOR ENGLISH

Teacher Packet

THE RHETORIC OF THE SHORT UNITS OF THE COMPOSITION: THE RHETORIC OF THE SENTENCE

Grade 10

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THE RHETORIC OF THE SENTENCE

Grade 10

CORE TEXTS: None. All essential materials are reproduced in the unit.
SUPPLEMENTARY TEXTS: None.
OUTLINE:

- GENERAL INTRODUCTION
    - 1. Description of Content
    - II. Objectives
    - III. Articulation
- BIBLIOGRAPHY
- GENERAL AIDS
    - I. Background Information
    - II. In Defense of Personal Writing
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    - I. A Preview: The Principle of Addition
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        - A. The Two-Level Narrative Sentence
        - B. The Multilevel Sentence
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GENERAL INTRODUCTION

1. Description of Content

The meat of this unit, contained in the Suggested Procedures, was composed by Professor Francis Christensen of the University of Southern California; it constitutes a brilliant new approach to rhetoric.

The Suggested Procedures contains Professor Christensen's own exposition in detail of this approach, followed by many examples of sentences which he has analyzed in terms of his approach. These examples are usually followed by the name or initials of their author. Many of these examples have been reproduced in the Student Packet to minimize your mimeographing and blackboard work. In the Student Packet, only the first two sentences in each group of examples are analyzed for the student, although in your packet all of the examples are analyzed by Professor Christensen. Thus the unanalyzed sentences in the Student Packet may be used either for class discussion or for homework. For the students, Professor Christensen has also provided exercises, exercises which ask them to analyze and to describe sentences given as well as exercises which ask them to compose sentences using the constructions previously analyzed.

Your packet also has a statement of the unit's objectives, a Bibliography, General Aids, exercises, suggestions for composition assignments, and an answer key for the exercises in the Student Packet. The articles written by Professor Christensen, a paraphrase for the convenience of those teachers with severely limited library resources. If the articles themselves are available, the teacher certainly should read them in preference to the rough summary reproduced in this packet.

II. Objectives

This unit has grown out of an attempt to base a modern rhetoric of the sentence on modern grammar and to use this modern rhetoric of the sentence as a way into and a linguistic foundation for the study of both composition and literature. In the tenth-grade unit on the rhetoric of the paragraph, based on this unit, the principles worked out here for the descriptive-narrative sentence will be applied to the expository paragraph. The two units, thus, will embrace the two parts of micro-rhetoric, and will provide --not a complete, but a fairly adequate--linguistic base for both writing and reading, the writing and reading of both literary prose (and verse too, for that matter) and practical prose.

III. Articulation

This unit requires of both the teacher and the student a good working knowledge of grammar. The grammatical terminology used is drawn from Paul Roberts; *English Sentences*. His terms *noun cluster*, *verb cluster*, *adjective cluster*, and *sentence modifier* are the most convenient ones available; and terms for these structures are indispensable. His use of intonation to distinguish sentence modifiers is a masterly handling of the vexing problem of restrictive and non-restrictive punctuation. The previous units dealing with this subject should have provided students with the necessary grammatical preparation. This unit is thus intimately related to the seventh grade Form Classes unit; eighth-grade syntax unit, the ninth-grade rhetoric unit, and the eleventh-grade unit on the rhetoric of the paragraph.

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GENERAL AIDS

1. Background Information

The principles upon which this unit rests are neither difficult nor generally known. They are the sort of which one says (after they have been pointed out) "Of course, why didn't I think of that?" But no one did think of them, and no one did point them out until Professor Christensen did it for us. Thus the principles of this unit are not generally known. Hence this background section: a thorough knowledge of it is essential to teaching this unit. The section contains first a summary of Christensen's achievement, then--for the convenience of teachers with limited library resources--a summary of each of the articles in which professor Christensen has described his approach and the results of using it.

A. What is it that is new about all this?

In "A Generative Rhetoric of the Sentence," Professor Christensen proposes not just a new rhetoric but for a new *kind* of rhetoric--a rhetoric based not on tradition, but on description. He proposes to look at writing, before telling the students what writing is. This principle is simple enough and in some ways familiar. It is a familiar principle of natural science. It is the principle of dictionary makers. It is the principle of the new grammar. But, in the study of rhetoric the principle is so new as to be almost revolutionary. It is so for many reasons, but two are most important. One is that the study of rhetoric is such a traditional discipline, one of the oldest in the curriculum, and thus likely to cling to the methods of an outworn, buried age. To become a teacher of English has long meant to become familiar with essentially archaic principles of rhetoric--such as the concepts of the loose, periodic and balanced sentences. And as English teachers we have thus had an interest in perpetuating such essentially useless knowledge. Thus we have not looked for a descriptive rhetoric. A second reason for the novelty of such a rhetoric of the sentence is the great difficulty it presents. It is difficult indeed to do, first because of the need to develop a useful instrument of description, second because of the need to do the describing. No description is better than the instrument used in relation to the purpose of the description. That is, to describe a new neighbor to your wife or husband in terms of his fingerprints or shape of his ears (two highly useful means of identification in investigative work) would be essentially useless. One must select significant features to list in the description, features significant to the purpose of the description. What features of prose are significant to the purpose of teaching students to write it? That is, what instrument of description should we use? This is a hard question to ask, and harder to answer significantly. Professor Christensen raised the question, and after looking attentively at prose, proposed an answer: the significant features of contemporary prose are addition, direction of movement, levels of generality, and texture.

Then the hardest part of the descriptive rhetoric remained--to use this instrument to describe contemporary writing, to demonstrate that it significantly helps students, and to demonstrate that it reveals features of contemporary prose that traditional approaches to rhetoric overlook, and Professor Christensen has done these too. He looked at sentence after sentence--looking for and finding addition, direction of movement, levels of generality, and texture. He effectively used the description in teaching students to write, as he demonstrates in the paper he delivered to the 1963 CCC Panel on New Directions in Rhetoric. And he effectively used the description to show us features of prose which, using traditional approaches to rhetoric, we had misconceived, as he demonstrates in the essays "In Defense of the Absolute," "Notes toward a New Rhetoric," and "Restrictive and Non-restrictive Modifiers Again."

The results are truly exciting. They are so because they are based on a significant description of professional writing. Throughout the study of this unit one should bear in mind and teach this fundamental principle: to answer a question about writing, look at good writers; instead of repeating traditional formulae about what sentences should be like, see what sentences are like. Thus the principles of analysis presented here should serve to generate exercises for the literature units --exercises in which the students in effect look at the literature to test this description. As the following summaries of Prof. Christensens' articles demonstrate, this is the most important single principle of this new approach.

These summaries are not satisfactory substitutes for the articles themselves. The articles can be found in the sources listed in the bibliography, but until you can obtain the articles themselves, these summaries--excerpts and crude redactions--may suffice.

A. From "A Generative Rhetoric of the Sentence"
by
Professor Francis Christensen

If the new grammar is to be brought to bear on composition, it must be brought to bear on the rhetoric of the sentence . . . . we do not have, despite several titles, a modern rhetoric . . . .

With hundreds of handbooks and rhetorics to draw from, I have never been able to work out a program for teaching the sentence as I find it in the work of contemporary writers. The chapters on the sentence all adduce the traditional rhetorical classification of sentences as loose, balanced, and periodic. But the term loose seems to be taken as a pejorative (it sounds immoral); our students have little occasion for balanced sentences; and some of our worst perversions of style come from the attempt to teach them to write periodic sentences. The traditional grammatical classification of sentences is equally barren. Its use in teaching composition rests on a semantic confusion, equating complexity of structure with complexity of thought and vice versa. But very simple thoughts may call for very complex grammatical constructions. Any moron can say "I don't know who done it." And some of us might be puzzled to work out the grammar of "All I want is all there is," although any chit can think it and say it and act on it.

The chapters on the sentence all appear to assume that we think naturally in primer sentences, progress naturally to compound sentences, and must be taught to combine the primer sentences into complex sentences--and that complex sentences are the mark of maturity. We need a rhetoric of the sentence that does more than combine the ideas of primer sentences. We need one that will generate ideas.

For the foundation of such a generative or productive rhetoric I take the statement from John Erskine, the originator of the Great Books courses, himself a novelist. In an essay "The Craft of Writing" (Twentieth Century English, Philosophical Library, 1946), he discusses a principle of the writer's craft which, though known he says to all practitioners, he has never seen discussed in print. The principle is this: "When you write, you make a point, not by subtracting as though you sharpened a pencil, but by adding." We have all been told that the formula for good writing is the concrete noun and the active verb. Erskine says "What you say is found not in the noun but in what you add to qualify the noun . . . . The noun, the verb, and the main clause serve merely as the base on which the meaning will rise . . . . The modifier is the essential part of any sentence." The foundation, then . . . is that composition is essentially a process of addition.

But speech is linear, moving in time, and writing moves in linear space, which is analogous to time. When you add a modifier, whether to the noun, the verb, or the main clause, you must add it either before the head or after it. If you add it before the head, then the direction of modification can be indicated by an arrow pointing forward; if you add it after, by an arrow pointing backward. Thus we have the second principle of our rhetoric--the principle of direction of modification or direction of movement . . . . The typical sentence of modern English, the kind we can best spend our efforts trying to teach, is what we may call the cumulative sentence. The main clause which may or may not have a sentence modifier before it advances the discussion; but the additions move backward, as in this clause, to modify the statement of the main clause or more often to explicate or exemplify it, so that the sentence has a flowing and ebbing movement, advancing to a new position and then pausing to consolidate it, leaping and lingering as the popular ballad does. The first part of the preceding compound sentence has one addition placed within it; the second part has 4 words in the main clause and 49 words in the five additions placed after it . . . .

Addition and direction of movement are structural principles. They involve the grammatical character of the sentence . . . . I cannot conceive any useful transactions between teacher and students unless they have in common a language for talking about sentences. The best grammar is the grammar that best displays the layers of structure of the English sentence. The best I have found in a textbook is the combination of immediate constituent and transformation grammar in Paul Robert's *English Sentences*. Traditional grammar, whether over-simple as in the school tradition or over-complex as in the scholarly tradition, does not reveal the language as it operates; it leaves everything, to borrow a phrase from Wordsworth, "in disconnection dead and spiritless." *English Sentences* is over-simplified, but it displays modifiers, including relative and subordinate clauses, but, far more important, the array of noun, verb, and adjective clusters . . . .

Layers of structure, as I have said, is a grammatical concept. To bring in the dimension of meaning, we need a third principle--that of *levels of generality* or *levels of abstraction*.

The fourth, and last, principle [is] that of texture.

(NOTE: The three paragraphs below are from a paper on a similar topic which Professor Christensen delivered to the 1963 CCC Panel on New Directions in Rhetoric.)

In closing, I want to anticipate two objections that may be taking shape in your minds. One is that the sentences [which exemplify these principles] are very long. They are long, deliberately so. For the examples I could have produced even longer ones, from Faulkner, even from Hemingway. Of the sentences by students, most are from what I call finger exercises . . . . Some are designed to develop facility in the use of certain constructions--the noun cluster used as an appositive, for example, which is indispensable in description. In [teaching] narrative sentences I try to push to level after level, not just two or three, but four, five, or six, even more, as far as the students' powers of observation can carry them, in order to develop facility in handling the details that are the life of narrative. I want them to become sentence acrobats, to dazzle by their syntactic dexterity. Then, in freer assignments, it is time to develop the sense for variety in texture and change of pace that good narrative demands. I want to add my voice to that of James Coleman in the December [1962] *CCC* deploring our concentration on the plain style at its plainest.

The other objection is that my examples are mainly descriptive and narrative--and today in freshman English we teach only expository prose. This is a limitation I deplore as much as I deplore our limitation to the plain style. To me both limitations are a sign that we have sold our proper heritage for a mess of utilitarian pottage. In doing so, we undercut our own discipline. Even if our goal is only utilitarian prose, I think we can teach sentence structure and diction far more effectively through a few preliminary controlled assignments, finger exercises, in description and narration than we can by starting right off with exposition. The student has something to communicate--his immediate sense impressions, which can stand a bit of exercising. This material is not already verbalized--he has to match language to his sense impressions. His accuracy in observation and in choice of words can be judged by fairly objective standards--is the sound of a bottle of milk being set down on a concrete step suggested better by *clink* or *clank*? In the examples [here omitted; see SUGGESTED PROCEDURES for examples], study the diction for its accuracy, rising at times to the truly imaginative. Study the use of metaphor, of comparison. This syntactical agility and verbal virtuosity carry over into expository writing.

But this is still utilitarian. The kind of analysis and practice I am proposing carries over into the study of literature. It makes the student a better reader of literature. It helps him thread the syntactical mazes of much mature writing, and it gives him an insight into that elusive thing we call style. Last year, during the Christmas vacation, one student re-read a book by her favorite author, Willa Cather, and she found that she understood for the first time *why* she liked her. She could understand and appreciate the style.

B. Redaction of "In Defense of the Absolute"

by

Professor Francis Christensen

This construction has been unjustly condemned because it is almost universally misinterpreted. Professor Christensen adduces several examples of unkind remarks about the absolute, and explains the misunderstanding on which they are based: the critics of the absolute think of it as preceding the clause by which it is governed and as expressing the grammatical relation of time, cause, condition, or concession. Although such uses of the construction are often objectionable, they are rare.

Nevertheless, the absolute is common and extremely useful in modern literature. An analysis of 50-page passages from E. M. Roberts, Joyce, Hemingway (30 pages analyzed), and Faulkner discloses averages of 2.5, 1.8, 2.9, and 2.6 absolute constructions per page. Of the 440 appearances of the absolute, only one indicates time; only nine stand before the governing clause. The absolute has three uses: to add narrative details (those describing an *action*), e.g., "'Ellen watched her receding, a large woman, *her skirt kicking out in little points at the hem as she walked*'(E. M. Roberts)"; to add descriptive details (those concerning *appearance*), e.g., "'her eyes were quite wide, almost black, *the lamplight on her face and the tiny reflections of his face in her pupils like peas in two inkwells*' (Faulkner)"; and to add explanatory details, e.g., "'To yoke me as his yokefellow, *our crimes our common cause*'(Joyce)." 438 of the 440 absolutes found in 180 pages of modern fiction fill one of these three functions. Although several absolutes come within the governing clause and 54 of the 440 are punctuated as complete sentences, the majority follow the governing clause. When the construction is introduced with the preposition *with*, which serves here as an empty form word, it nearly always follows the more general or more abstract governing clause, to which it adds narrative, descriptive, or explanatory details. Joyce occasionally uses absolutes as lyric refrains, e.g., "'a tide westering, moondrawn, in her wake.'"

The grammatical nature of the construction has also been misunderstood. It ordinarily consists of a subject and predicate which may be simple or compound. The subject is usually a noun, but occasionally a pronoun in the nominative case. Hemingway has written absolutes whose subjects are pronouns in the accusative. The predicate may be a present or past participle, or, rarely, an infinitive. it is not always a verb. A noun, pronoun, adjective, adverb, prepositional phrase, or comparison expressed by *like* may serve as a predicate in this construction. Professor Christensen provides examples in the article.

The loose relation of the absolute to the sentence in which it occurs is an advantage in the modern typically cumulative sentence, in which the main clause is simply a base to which loosely related appositives, prepositional phrases, participles, and absolutes are added. A second advantage of the absolute is that it need not have a verb, and therefore enables the writer to avoid the use of a verb as a mere copula. A third advantage is, that unlike the other major construction for expressing detail, the participle, the absolute has a subject of its own. The absolute permits the reader to regard the parts separately from the whole.

The one-sentence examples running through the article demonstrate the construction in isolation; the article concludes with a passage from Mark Twain illustrating the absolute in context, and conclusively demonstrating the natural, colloquial, and functional nature of the construction.

C. A Redaction of "Notes Toward a New Rhetoric"

by

Professor Francis Christensen

1. Sentence Openers

This article criticizes the mechanical variety in sentence structure, which has been taught to students in recent years. Professor Christensen presents statistical evidence that professional writers rarely monkey with the ordinary S-V-O pattern of English sentences, that the variety in their sentences results from variety in modifiers, and that a complicated modifier is rarely placed at the beginning of the sentence, except under the influence of unusual circumstances, such as the sportscaster's need to describe an action while he waits for his spotter to identify the actor.

The professional writers of narration (W.V.T. Clark, Faulkner, Hemingway, Mary McCarthy, U. P. Marquand, John O'Hara, E. M. Roberts, John Steinbeck, Eudora Welty, and R. P. Warren) and of exposition (Rachel Carson, Marchette Chute, Bernard De Voto, Edman, Gilbert Highet, H. L. Mencken, D. I. Lloyd and H. R. Warfel, Lionel Trilling, Mark Van Doren, and Edmund Wilson) analyzed by Professor Christensen open their sentences as does the ordinary college freshman. They put something before the subject in only one-fourth of their sentences and that thing is almost always a simple adverbial. Verbal groups precede the subject of one sentence in 85; inverted constructions precede the subject of only one sentence in 300. To require variety in sentence openers without regard to material, intent, subject, or style contradicts professional practice. Professor Christensen cites an example of the corrupted style such requirements produce, aptly describing it as "pretzel prose." The first sentence from his example suggests the flavor of the whole: "Busily preparing for his coming trip is Dr. Henry Makeweather, professor of French."

On the basis of professional practice, it might be well to discourage all inverted constructions as sentence openers, for they are inappropriately stilted and elaborate for a simple, natural style intent on communicating information rather than on exhibiting itself. Students might also be discouraged from using verbal groups (except for gerund phrases) as sentence openers, as beginners find them a rich source of dangling participles.

> This leaves us, he concludes, with adverbial elements as sentence openers. The natural function for an opener is to prepare the mind of the reader for the statement to follow. The adverb may owe some of the unusual freedom of position it enjoys in the English sentence, where nearly everything else is fixed, to the fact that adverbial ideas are often needed to set the stage for the sentence statement. Some adverbs

(*again*, *moreover*, *in addition*, *ideally*, *in short*) are like the directional signs for traffic. These are best kept inconspicuous, the shorter the better, and may without much difference in effect be placed after the subject. Others carry the more explicit adverbial ideas of time, place, cause, condition, etc. Whether to place these before the subject or later in the sentence calls for judgment as to the effect. If we say "Before he came down for breakfast he read a set of themes," there is both an element of suspense (the mind holds the time idea unresolved until the act is indicated) and of preparation (when the act comes it comes invested with the time idea). If we change the order, the forward movement of the sentence stops after "He read a set of themes" and the scene in the light of the time idea. Sometimes the intention is to force such reconstruction: "I will come tomorrow--if you want me to come." Sometimes, of course, rhythm or expedience determines the position; we have to put the modifier where it will sound well or where it will be clear.

Finally, a word about coordinating conjunctions as links between sentences. In expository writing 8.75% and in narrative 4.55% of the sentences were so linked. In freshman writing, I should say, the accurate use of these sentence-linking conjunctions may be taken as a fairly good mark of a mature style.

The good teacher should not only base his preaching on the practice of professional writers, but should himself practice before he preaches. As Keats maintained, an axiom is not an axiom for a man until he has tested it on his pulses. Anyone who tries writing (as I have done here; the profile is 26.50; 26.50, 0.00, 0.00-6.00) without verbal or inverted openers will soon find himself up against the traditional dictum about *and*-sentences. If he defies the dictum, he will still find himself in the company of the professionals--but this is a subject for another paper. Our trouble, as teachers, is that the approach to the sentence by way of traditional grammar (simple, complex, compound, compound-complex) and that by way of traditional rhetoric (loose, balanced, periodic) both leave us twisting pretzels. They aim to make one sentence grow where two grew before--"He stood on the sidewalk at the corner. A truck came by in the curb lane" becomes "Standing on the sidewalk at the corner, a truck came by in the curb lane." What we need is a rhetorical theory of the sentence that will not merely combine the ideas of primer sentences, but will *generate* new ideas. In such a rhetoric, sentence elements would not be managed arbitrarily for the sake of secondary concerns such as variety. They would be treated functionally and the variety--and its apposite, parallelism and balance--allowed to grow from the materials and the effort to communicate them to the reader.

2. A Description of a "Lesson from Hemingway"

The article explains the principle of addition. Here, Professor Christensen deals with the question of how a writer makes the details he adds to the main clauses of his sentences "concrete, graphic, or telling." By an analysis of Hemingway's *The Undefeated*, Professor Christensen determines some of the elements of a concrete style in order to make them available for application to the teaching of composition. Once the methods by which writers sharpen images are understood, their additions to their sentences can usefully be studied and practiced by teachers and students of composition.

Professor Christensen remarks that 'learning to sharpen an image is learning to see an image sharply,' so that the kind of study recommended should result in growth of students' vision as well as in improvement of their writing.

That study can be described in rhetorical terms as an investigation of three "*methods of description* . . .--by qualities or attributes, by details, and by comparison." Description by *effect* merges so easily into explanation (the province of expository writing) that it is not dealt with in this study of narrative and descriptive prose. Mr. Christensen provides the following passage (from Peattie's *An Almanac for Moderns*) which exemplifies the three methods of description;

> Only gradually one finds he too is learning the subtlest differences [among deciduous trees in winter] where at first all seemed alike: the BRANCHES OF IRONWOOD, *like the muscles of a straining wrestler*, THE SHAPES OF ELMS *like a falling fountain*, the *mottled* BARK OF SYCAMORES, THE ALDERS *with their little cones*, the HICKORIES *with their buds almost like flowers*--out of the silvery winter ranks individuals step forth, are marked remembered--January 25th.

The article explains:

> The first statement, down to the colon, motivates the addition of description. The nouns in small capitals name the items the author has chosen to present; they are the *headwords* to which description is added. The italicized parts are what has been added to sharpen the image--to distinguish individuals where at first all was alike.
>
> The simplest way to individualize a thing is to point to some *quality* or *attribute*, as "mottled" does. The second way is to point to some *part* of the object, what I will call a *detail*. Here the alders are marked by their cones, the hickories by their buds. Pointing to a quality effects in the reader's mind an over-all modification of the image suggested by the headword; it is like turning the focusing knob and seeing the blurred image spring into sharpness on the ground class. Pointing to a detail, on the other hand, is like moving in for a close-up of some part of the tree. The third way is to go beyong the object itself and to sharpen the image by suggesting its *likeness* to something else, as is done here with the branches of ironwood and the shapes of elms. Considerable experience has convinced me that there are only these three *methods of description*, as I will call them--by qualities or attributes, by details, and by comparison. . . It should be noted that the nouns in what is added may in turn become headwords and have description of their own--*straining*, *falling*, *little*, *almost like flowers*. Any of the three methods may be used for such further-level description, and there is no limit to the number of levels. The description here is all drawn from the sense of sight, but may be drawn from any of the senses.

Professor Christensen then analyzes the grammatical constructions involved in description. He points out that the same methods that are used to sharpen images (description) are also used to sharpen the picture of actions (narration).

He demonstrates this by a detailed analysis of Hemingway's narration in *The Undefeated*. Modification by detail appears far more frequently than does modification by quality, which appears more frequently than do comparisons. While descriptive details may be expressed by a single adjective, narrative details are nearly always expressed by phrases-participial, prepositional, and absolute.

Professor Christensen concludes that

> . . . there are two steps in picturing an object or an action in words--naming it and describing it . . . . For describing either an object or an action there are three methods; and each method makes use of a limited number of grammatical constructions . . . [which] are an invaluable clue to the sentence patterns of current descriptive-marrative writing . . . .

NOTE: These constructions are described in detail in the "Suggested Procedures" Section of this unit.

D. A Redaction of "Restrictive and Non-Restrictive Modifiers Again"
by
Professor Francis Christensen

Why do we set off non-restrictive modifiers? Professor Christensen suggests an answer that works independently of juncture, i.e., in situations where the correct oral reading of the sentence is unavailable or when oral reading cannot be required of students. It depends instead on the meaning and purpose of non-restrictive punctuation.

Non-restrictive punctuation is designed to eliminate unwanted implications. Restrictive modifiers exist in sentences that make one statement and imply its opposite, and what is implied equals in importance what is stated. "Ann's brother, who lives in Denver," avoids the implication that Anne has more than one brother, while "Anne's brother who lives in Denver" implies that she does have more than one brother. Whether involving appositives, attributive adjectives, or quotations, this distinction is correctly made by nearly every speaker, but not by most writers. Informed of this principle, students can become, in this respect, as accurate in writing as in speech.

II. In Defense of Personal Writing

The schools have been severely criticized of late for their addiction to what has come to be called personal writing--a term less prestigious than the overambitious imaginative or creative. They are admonished to concentrate on expository writing instead so as to get the boys and girls ready for college and the colleges teach expository writing to get them ready for business. The criticism is probably justified, but the attempted coercion of the schools is bad and ought to be resisted.

"My Summer Vacation" or "My Most Interesting Experience" is a bad assignment, but not because it is personal and not because it involves narration and description rather than exposition. It is bad because no educational discipline except penmanship is possible with it. I do not see how a teacher could make the assignment in such a way as to advance the student in his grasp and control of this, that, or any other element of diction or sentence or paragraph structure, or to advance his capacity to feel or reflect. A writing assignment is not useful unless it provides some resistance--some compositional problem to be solved by the mastery of some specific technique. Personal writing is all too often mere self-expression--the languid overflow of vapid feelings recollected in a hurry just before the bell rings.

But personal writing doesn't have to be that. It provides the best conditions, I believe, for teaching diction and sentence structure. These are difficult, if not impossible, to teach well in expository writing. Expository writing is immensely complex, the level of abstraction is high, the working unit (the paragraph) is large. A student precipitated into this maelstrom is almost helpless unless he has already been taught to swim, that is, to put proper words in proper places.

When in the past we have tried to separate the treatment of the proper words and the proper places for the words from the other problems of expository writing, we have found no context for doing it and so have resorted to workbooks. Trying to grow language in workbooks is like trying to grow flowers in a concrete jungle, and even if the new teaching machines are better teachers than the old workbooks, they can only teach what they have been programmed to teach. What both workbooks and machines teach is mostly negative (how to avoid errors) and what is not negative or mere mechanics is based on the old grammatical categories of simple, complex, and compound and [on] the old rhetorical categories of loose, balanced, and periodic.

We can do better than this. Modern grammar provides a far better foundation. By working with descriptive-narrative writing, we gain two advantages. Here the sentence is a natural working unit, and our material, sense impressions, is not already verbalized. The student may try to use at first what he remembers, not what he actually sees, but part of the discipline is to force him to observe and to match his language to his impressions.

The concern for the language of the senses takes us in a very intimate way into the language of literature--the realms of gold usually so alien to adolescents but no longer so alien if they have themselves tried to invade them. This sense of being at home with the concrete and metaphorical language of fiction and poetry is a mere byproduct of the course in composition, but it is so valuable that personal writing would justify itself on that ground alone. It seems to me that it must be nearly impossible to teach literature in our culture without some such use of composition as proposed here to acclimate the young to a richer language than that of predigested plain prose.

This point is developed more fully in the next section.

SUGGESTED PROCEDURES

I. A Preview: The Principle of Addition

The purpose of this preview is to show what it is we are talking about when we say that the first and most basic principle of writing is the principle of addition--that "the meaning is in the modifiers." What are we adding to what? The first passage chosen for this demonstration presents an action that every student is familiar with, either as a performer or a spectator. It is told from the point of view of the performer, a man who rememvers in middle age how he once made an eighty-yard run on the football field. Here is the passage, with all the additions removed. What is left is only the main clauses of the ten sentences. It reads about like what our students write--like a summary letting us follow the action but not compelling us to enter into it imaginatively. The texture is very thin.

The pass was high and he jumped for it. The center floated by. He had ten yards in the clear and picked up speed. He smiled a little to himself as he ran. The first halfback came at him and he fed him his leg, then swung at the last moment, took the shock of the man's shoulder, ran right through him. There was only the safety man now. Darling tucked the ball in, spurted at him. He was sure he was going to get past the safety man. He headed right for the safety man, stiff-armed him. He pivoted away.

Now here is the passage as Irwin Shaw wrote it, with the additions underlined so that you can readily identify them.

A

--Irwin Shaw, "The Eighty-Yard Run"

The underlined additions change the texture from the thinnest possible to the rather dense. Only one sentence here does not have an added sentence modifier set off by punctuation, and this one does not describe the runner's actions, like all of the others, but his thoughts (his mental actions) as he weighs his chances against the safety man. The number of elements added to a single sentence varies from one in each of the first two sentences to *ten* in the third. The ten narrative sentences have a total of 32, an average of three and one-fifth. The same ten sentences have 92 words in the main clauses to 249 in the additions.

It hardly needs to be stated that it is the additions that give the passage what vividness, what sense of the actual feel of experience, what authenticity it has.

It is often said that when in narration the action gets fast the sentences get short. Instead, as this passage is typical in showing, they get longer or, as in the fifth sentence, but this is not frequent, they slice the action into small units in compound predicates.

Except for the eighth sentence, this passage is pure narration, about as pure as that article ever comes. There is no description. One learns that the runner weighs two hundred pounds and wears thigh pads and cleats. Except for these facts, the reader is free, so far as this segment of the story goes, to picture the runner's appearance in any way his fancy suggests.

The next passage includes some description, especially in sentences 1, 2, 5, 8, and 9. Narration pictures *action*; description pictures *objects*, such as persons, places, and things. Narration describes *behavior*; description describes *appearance*. Narration and description *describe* or *picture* the world; their aim is to make you see and feel. Exposition, by contrast *talks about* the world; its aim is to make you understand.

The passage that follows is the two central paragraph of an item from *The New Yorker*'s Talk of the Town, perhaps by E. B. White. To save space, we will make do with one version instead of two. Read first only the parts that have not been underlined.

B

The texture here is less dense than in A, so that the basic version reads well without what is added. We would rejoice to have anything so good from our students. But when you read the second version, you may see the unwisdom of letting well enough alone. To the tones, the overtones have been added. A competent outline of an experience has been made a vivid experience that engages you because it makes you see and, making you see, makes you feel. You will probably not forget that description of the appearance of the mother—"an absurd pile of rubbery spheres, round head and soft-ball size muzzle and full breasts, all balanced somehow on the great medicine-ball belly"—or that description of the posture of the baby hanging in the air "like a diminutive shirt pinned to a clothesline."

The difference between the basic and the developed version is what we are trying to teach in this unit. It involves diction as well as sentence structure—notice the single words that have been underlined and the three metaphorical nouns underlined twice. It should be evident that this kind of writing should do something for the student's power to see. Aldous Huxley proposed a book to teach the child how to look at a flower; "it is a priceless thing to be shaken out of the rut of ordinary perception. . ." (*Realities*, August 1962). It should be evident, too, that it does provide a way of familiarizing the student with the language of literature and that it will probably increase the student's ability to negotiate a style of some complexity.* It will become evident that it provides a thorough review and reinforcement of the work in grammar; this review can be made more or less intensive, depending on the needs of the particular class.

Examples A and B are by professional writers; let us round out this preview with a piece by a student. I shows like the others that the value of a piece of writing lies in the treatment, not the subject. The treatment here is within the grasp of some students and should not be thought beyond the reach of any.

C. EVENING ENTERTAINMENT

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*In a review of Jas. J. Lynch and Bertrand Evans, *High School English Textbooks: a Critical Examination*, Diana Trilling (*The New York Review of Books*, April 30, 1964) cites this passage to show how literary texts are cut and altered. The underlined parts were omitted, the bracketed phrase added.

> At dusk we saw Dr. Grimesby Roylett drive past, *his huge form looming up beside the little figure of the lad who drove him. The boy had some slight difficulty in undoing the heavy iron gates*, *and we heard the hoarse roar of the doctor's voice and saw the fury with which he shook his clenched fist at him*. *The trap drove on*, and a few minutes later we saw a sudden light spring up [at the manor house] up among the trees as the lamp was lit in one of the sitting rooms.

Mrs. Trills observes, "Surely what the student is spared by such excisions is activity, mystery, the happy abundance of observation, and all sense of deference to a mind more complete than his own."

II. Levels of Structure and Methods of Description

The notion of levels, or layers, of structure is basic to this analysis of writing and basic to the process of writing. It involves two of the four principles set forth in "A Generative Rhetoric of the Sentence"—direction of movement and levels of generalization. Look back at passage A as you read on. The passage, as we have said, is narrative. Each main clause advances the action—advances the runner down the field. The main clause has a finite verb—which in English must show tense, present or past—and this finite verb, in designating a new stage of the action, also blocks out a unit of time in which this stage of the action takes place. The main clauses do not block out equal units of time. They are flexible, like an accordion. The units succeeding one another may be short or long—as short as a second, or a split one, or as long as any period that has to be merely noted in passing on to something else. If you look at the main clauses of every bit of narrative as closely as we are looking at the main clauses of this one, you may find that the units of time are not managed quite logically: they may overlap and there may be gaps. For example, in A, the last main clause, "He pivoted away," doesn't really take the runner across the goal line, but it is clear that the runner does cross it in that sentence.

There is an important difference between A and the other two passages. A is close to being a simple linear narrative, which would have the same grammatical subject for every sentence. All the sentences are focussed on the runner, and he is the grammatical subject of half of them. In C, every main clause, with one exception, has a different person or group for its subject (the various members of the volunteer staff and a selection of the vaccinees), yet each main clause designates an action and blocks out a unit of time and these blocks add up to a sequence that takes the reader through the process of vaccination.

So much for the top level. If the main or base clause has an added element, this added element (nearly always added after a nonrestrictive mark of punctuation) does not advance to a new block of time. (It may slop over, as in the last sentence of A, but this is not really a defect.) It remains within the same block of time and goes back over the action designated in general terms in the main clause; it goes back over it to explore it at a lower level of generality. It is nearly always more specific or more concrete, or it is singular instead of plural. Thus the added level downshifts and backtracks. For example, (from B)

1 she was half hunched at the back of the cage,
2 her legs tucked under her somewhere,
2 her weight on her stomach, and
2 her chin resting on her folded, hairy forearms.

The prepositional phrase "at the back of the cage" is an adverbial of place. In general, the discussion of levels does not include adverbials of time or place, whether word, phrase, or clause. They are not usually a problem. We are concerned with those of manner.

In the article on Hemingway, I tried to answer the question, what can and does a writer add to the noun to sharpen the picture of (that is, to describe) the object it names and to the verb to sharpen the picture of (that is, to describe) the action it names. I concluded, and this conclusion is based on long study of many writers and styles, that there are only three methods of description. (I use the same term for describing both objects and actions because the same three methods are used. For the parallel feature in expository writing, I use the term methods of support and there are more than three.) I also undertook to explain the grammatical elements used as the vehicles for the three methods. Since this is both new wine and new bottles, I want to go again over the same ground, using the three examples above.

Let us start with the sentence just quoted. The predicate, "was half hunched," presents in a general way the posture of the mother. (We include posture, attitude, stance in behavior.) Here there is not one added element, but three; but since they form a parallel series, they are all marked level 2. The three present details of her half-hunched posture. Details are parts of the whole. The legs, the weight, the chin are all parts of the mother and the account of how they are disposed sharpens the image that is presented at first only in a general way. The term detail, defined as a part of a whole, may be too restrictive. The older scholarly grammar gives us the term attendant circumstances. In C, the action of the woman who is separating the cups with her thumb and forefinger (detail) is accompanied or attended by the circumstance of gold loops bobbing from her ears.

Let us look now at the grammatical constructions used for presenting details of action, that is, for narrative details. Three constructions are used, and they appear in the narrative sentences of the three passages in these numbers: verb clusters (VC) A, 14; B, 11; C, 13, a total of 38; absolutes(AB) A, 12; B, 8; C, 5, a total of 25; prepositional phrases (PP) A, 2; B, 3; C, 1, a total of 6. The grand total is 69, and the proportions are roughly 6:4:1.

In A, every VC begins with an -ing: feeling it slap, breathing easily, feeling his thigh pads rising and falling, etc. (One could, as a way of emphasizing grammar, determine the sentence pattern of each of these and of the passives of B /nudged by perambulators, softly bumped by balloons, half-hidden in the long reddish-brown hair . . ./; but such inquiry would not further the compositional values.) If we ask about the doer of the actions in these -ing clusters, the doer does not appear within the cluster, but in the structure the VC is added to—"He had ten yards in the clear and picked up speed, *breathing* easily, *feeling* his thigh pads," etc. *He* (the man who picked up speed) is the man who breathes easily and feels the thigh pads. *He* is the subject of *breathing* and *feeling* as much as it is of *picks up*. Thus we have two types or levels of predication, but no term for the second type unless we call them secondary predications. It doesn't make sense to call them modifiers.

Unlike the verb cluster, the absolute includes its own subject, its own doer of the action. All absolutes are transforms of sentences, with subject and predicate, and they can be converted back to the source sentences. Those in A have these sources; the numbers are the numbers of sentence patterns as in *English Sentences*; *p* is for passive.

the hands desperately brushed Darling's knee (4)
                                became all suddently clear (2)
the whole picture
                                became not a meaningless confusion (3)
his knees were pumping high (1)
his hips were twisting (1)
his cleats bit securely (1)
his arms were crooked (4p)
his hands were spread (4p)
all two hundred pounds were bunched (4p)
his arms and legs were working together (1)
[his] head was turned (4p)
[his] mouth was pulled to one side (4p)
the drumming of cleats diminished behind him (4)

All of these absolutes, except the one from sentence 3 with the compound predicate, have a present or passive participle which in the source is a finite verb. When the finite verb is such a one as *be* or *become* it is likely to be omitted in the absolute, with the result that the predicate is reduced to a predicate adjective or predicate noun or prepositional phrase. Here are two examples from B:

his cap [was] on the back of his head (8)
the long palm [was or *lay*] open (9 or 2)

A and B each has an absolute introduced by what can be called a "marker." *With* is not really a preposition. Either of these can be read in context just as well without *with*:

[with] the drumming of cleats diminishing behind him
[with] its aged, tiny head propped in the niche . . .

This sentence from B has what looks like two absolutes at least, if not five: "Mothers *with babies*, fathers *holding up young children*, couples *arm in arm*, boys *toting roller skates and baseball bats*, foreigners *in berets*—all stood motionless and silent." The underlined parts are all *modifiers*, not predicates as they would be if the clusters they are a part of were absolutes. The proof is that they could be expanded into relative clauses: fathers *who were holding up young children*, couples *who were arm in arm*. The five nouns are appositives to *all*; the underlined modifiers added to them offer descriptive (not narrative) details. A has a similar example in the latter part of the very complicated (but for all that not complex) third sentence. The latter part could be punctuated and interpreted thus: "the whole picture—the men [who were] closing in on him, the blockers [who were] fighting for position, the ground [which] he had to cross—all suddenly clear in his head . . . ." Again we have a descriptive interlude: the men, the blockers, the ground are the details of "the whole picture."

An experiment will show why verb clusters and absolutes are a sine qua non of narrative writing with any density of texture. Start writing out A, converting all of these constructions into sentences. (Note that they have a place in expository writing too.) Before you are through sentence 3, you will see that with every action put in the form of a sentence and thus given a finite verb blocking out a unit of time, it is impossible to keep the time sequence clear. Actions that occur simultaneously now each have a verb blocking out what should be a new unit of time. You will see also that you have an intolerable monotony of simple sentences all beginning with he. The solution to this problem, paradoxically, is not to vary the sentence openers (see the article on this subject), but to conceal a necessary monotony of sentence beginnings by attending to the sentence endings.

The details of action--that is, narrative details- sometimes have the prepositional phrase (PP) as their vehicle. There are not so many of these in our examples that we cannot list them:

took the shock . . . without breaking stride
Without thought, he headed right for the safety man
stared in with the same absorbed, almost sleepy expression
climbed to the top in two long grabs
removed the baby from her neck with delicate care
separated stacks of paper-cups with her thumb and forefinger

The interesting thing about prepositional phrases is that the preposition is a device for converting nouns, or nominals, into modifiers, which may be used to modify either nouns or verbs, or even adjectives and adverbs. Unless the nouns so converted are concrete and their modifiers are concrete, the prepositional phrase is likely to be abstract, as are the second and fifth here.

Instead of details, the added element may propose a comparison. The example in C is easiest to describe--"emitting a low 'Good evening' to each person, much like a minister greeting his congregation." This one is set off by punctuation, behaving good like all sublevel elements should, and it clearly describes the manner of the emission. The two in B are not set off, and although they describe the manner (how the baby's arm lay and how the baby hung in the air), the comparisons also picture the appearance. This is nothing to take alarm at. The blending of narration and description is more important that their separation. We can class as a person's behavior his ever-shifting movements and intermittent poses and as his appearance what persists through these changes, things like his physique, features, complexion, and clothing.

Grammatically, these three comparisons are all prepositional phrases, with like as the preposition. But other prepositions and other constructions occur. Two examples occur in A and B. They are included within the added elements (level 3 within level 2) and they are not set off--"his hips twisting in the almost girlish run of a back in a broken field" and "the long palm open in an empty parenthesis." Sometimes the preposition is with, but the example must come from elsewhere--"She laid aside the material, stabbing in the needle with the resigned irritable patience of a person who is used to senseless interruptions" --Mary McCarthy. (Notice that this is a literal comparison.) Adverbial clauses of manner are common, sometimes set off, sometimes not--"on the summit the wind hit full force, as if you'd stepped out from behind a wall"--W. V. T. Clark; "He shuddered profoundly as if a cold finger-tip had touched his heart"--Joseph Conrad.

The third method is description by *quality* or *attribute*. These are learned words, not very appropriate for the schoolroom, but I have not been able to find substitutes. Curiously, none of the main clauses in the three examples has an added adverb to present a quality or attribute of the action, but several of the second-level elements do--"feeling it slap *flatly* into his hands" (A) and "smiling *sheepishly*" (C). But examples are not hard to come by--"A bumblebee with dragging polleny legs went *smotheringly* over the abelia bells, making a snoring sound"--Eudora Welty.

Sometimes the quality is expressed by adjectives rather than adverbs--"The three quarters began. The first note sounded, *measured* and *tranquil*, serenely *peremptory*, emptying the unhurried silence for the next one . . . ." --Wm. Faulkner. But perhaps we should say that these adjectives present description rather than narration, describing the notes rather than their sounding.

There are two standards for judging adverbs of manner. Their relative frequency and relative abstractness. B has only one, *softly*, and C only one, *sheepishly*. These are both concrete; *sheepishly* could even be called metaphorical, though the metaphor is worn. A, by contrast, has eight. Three of these are fairly concrete--*flatly*, *lightly*, and *securely*; two--*desperately* and *warily* --read the minds of the center and the safety man; two others--*delicately* and *beautifully*--pass a judgment on the quality of the action. These abstract adverbs do not picture the action; they *talk about* it. They are expository.

The same could be said of descriptive adjectives. Much nonsense about adjectives passes for rhetorical wisdom. The adjective is an indispensable tool, but a delicate and tricky one. The rules are the same as for adverbs: few and concrete--or metaphorical. Those in B are excellent examples--"We made the acquaintance of this *Darwinian* madonna on a *breezy* Saturday of *brilliant* sun and *cool* shadows." Notice that the compound *heavylidded* presents a detail and that the compounds *softball-size* and *medicine-ball* involve comparisons.

I realize that these pages and the article on Hemingway are heavy going. They constitute a good part of what would be the material for a course in modern prose style based on a preliminary course in modern grammar. Unfortunately, most of what the teacher of composition needs to know he has to pick up on his own.

III. Finger Exercises

A. The Two-Level Narrative Sentence

The two-level narrative sentence makes the simplest starting point. The foundation to which the second-level element (or elements) is added may be a simple, complex, or compound sentence, a loose or balanced or periodic sentence, or even a partial sentence. The form of the base, as we may call it, simply doesn't matter. And the position of the added element doesn't matter. It may be initial or medial or, and this is by far the commonest, final.

It is important to make what is being done seem to our students natural and interesting. To help with this problem, I have prepared two exercises. They are intended to help show that we are not really concerned with words or with grammar, as such, but with experience, the feel of things. Each presents a set of descriptions of an action. The examples from *Listen! the Wind* were gathered from 30 pages. (The Lindberghs had to make five tries, over three days, to get their heavily loaded plane off the water. Each time they had to taxi out, turn, hopefully into wind, and try to get up enough speed to lift from water to air.) Mrs. Lindbergh probably didn't compare the sentences I have extracted from her narrative. She must have concentrated on the experience. The same verb, turns, recurs 11 times; the only alternate is swing, used twice. Clark, writing a story rather than a personal experience, uses the same verb, drink, of every animal that comes to the Indian well--the cow tries to get her calf to drink but doesn't succeed. These examples all appear within three pages and the author could easily have compared them, but he too keeps to the plain verb.

This is a warning against overdoing the search for the synonym or the striking word. The base clause generally uses a rather general verb. The search at this point should not be in the dictionary for words, but in the experience itself for the detail that makes the account of the experience authentic. The language used to present the detail, however, since the detail is at a lower level of generality, must be sharp.

With each of these finger exercises there should probably be a dry run or pilot project in class. Have a student erase the board, for example, or write on the board. The base sentence should be kept simple: "He erased the board, ____." The class may choose to add an adverb; it is likely to be an abstract one, vigorously or idly. This can be allowed to stand even though it does pass a judgment on the action. Since it is abstract, it invites detail to sharpen it: "He erased the board, vigorously, each sweeping stroke ending with a puff of white dust."

There should be no lack of subjects for either the dry run or the home work, because any action, literally any, can be made a subject.

All the finger exercises should be based on observation, but when the first set of sentences come in, it will be evident that some of the students, although they have eyes, have not seen. What they have added is so trite or commonplace that it could only come from blurred memory, not from immediate observation. Some, if their action involves anything other than a person, will have personified, and others, if their subject involves a baby or an animal, will have sentimentalized it beyond recognition. Both personification and sentimentality preclude observation; they must be strangled in the cradle.

Some students will not have grasped the two-level form. Some will have added just a miscellany of modifiers, maybe of time and place rather than manner. Some will present a little personal essay about the action, expository rather than narrative. Some will invert the relation of main and subordinate, putting the meaning in the main clause instead of in the modifier, writing "As she swooped up her wrap and trotted toward the door, her jeweled heels merrily twinkled," instead of, what Katharine Brush did write, "She swooped up her wrap and trotted toward the door, jeweled heels merrily twinkling."

Some others may have got the idea of the two-level pattern and have had the eye for a truly arresting detail, but have expressed it clumsily or wordily.

Every sentence will present its own problems, and it will take some time before the two-level sentence becomes natural. But that will signalize an enormous gain in sentence control!

What remains now is to provide a generous sheaf of examples to illustrate two of the three methods of description (details and comparisons--adverbs are merely underlined), the various constructions, and some of the potentialities.*

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* See also the Student Packet, where several sentences from each group of examples have been reproduced to cut down your board and mimeo work.

Details

Narrative Details in Prepositional Phrases (PP)

[Most PPs are not set off. One can hardly ignore interesting descriptions of manner like those in the first two examples, but it is convenient to keep the term added level for what is set off. To solve this problem, I have adopted the convention of underscoring once those items that are not set off and putting on a separate level those that are. The difference between being set off or not is the difference between nonrestrictive and restrictive, a difference most people, including copy readers and editors, find it hard to make. For short, I will call them free and bound modifiers.]

1. He put his finger in the range of [the caterpillar's] persistent wavings and watched it crawl in looping haste down his fingernail.--Stella Benson

2. The flame of the torch streamed now and then with a fluttering noise like a flag, and for a time that was the only sound.--Joseph Conrad

3. 1 He was snoring softly,
    2 with a little bubbling at the lips on every outbreath.--W. V. T. Clark

Narrative Details in Verb Clusters (VC) and Absolutes (AB)

[The two kinds may be parallel, i.e., on the same level. These sentences have from one to five parallel added elements. In 12, this symbol (--/ ,) indicates the position of elements added medially. The punctuation, usually a pair of commas, is the punctuation used to set off the parenthetic element; the slant line is intended to point to the displaced element.]

4. 1 Judy went in a whirl of cartwheels across the porch,
    2 stirring a drift of leaves at the far end.^{VC}--AN
5. 1 Varner looked at him sharply,
    2 the reddish eyebrows beetling a little above the hard little eyes.^{AB}--Faulkner
6. 1 The ball of smoke hung in the air like a shrapnel burst, and
    1 as I watched, another rocket came up to it,
    2 trickling smoke in the bright sunlight.^{VC}--Hemingway
7. 1 The hamburgers came,
    2 the plates clattering down on the counter,^{AB} and
    1 the cups of coffee,
    2 the coffee sloshing into the saucers.^{AB}--R. P. Warren
8. 1 Al was out already,
    2 unscrewing the steaming radiator cap with the tips of his fingers,^{VC}
    2 jerking his hand away to escape the spurt when the cap should come loose.^{VC}--Steinbeck
9. 1 Now both the Warden and the deputy looked at the emissary,
    2 the deputy's mouth open a little,^{AB}
    2 the cigar poised in his hand to have its tip bitten off . . . .^{AB}--Faulkner
10. 1 It was hard to keep my eyes open,
    2 staring at the road,^{VC}
    2 watching the black blades sweep rhythmically across the windshield,^{VC}
    2 seeing the white flakes rushing toward me and then, inches away, soundlessly flattening against the glass.^{VC}--MJE
11. 1 There were black Saturdays now and then,
    1 when Maria and Miranda sat ready,
    2 hats in hand,^{AB}
    2 curly hair plastered down and slicked behind their ears,^{AB}
    2 their stiffly-pleated navy-blue skirts spread out around them,^{AB}

2 waiting with their hearts going down slowly into their high-topped laced-up black boots.^{VC} --K. A. Porter

12. 1 But she-- / , sipped, sipped, drank . . . drank . . . .--K. Mansfield
2 with her teacup in one hand,^{AB}
2 the sheets of thin paper in the other,^{AB}
2 her head tilted back,^{AB}
2 her lips open,^{AB}
2 a brush of bright colour on her cheek bones

[The narrative detail is not restricted to visual imagery. It may draw upon impressions of any of the senses.]

13. 1 Trucks as long as freighters went roaring by,^{VC}
2 delivering a wind like the blow of a fist.^{VC}--Steinbeck

14. 1 Others were having trouble too, and
1 we pulled to the jog again, and held it,
2 all the hoofs trampling squilch-squelch, squilch-squelch,^{AB} and
2 little clods popping gently out to the side and rolling toward the water.^{AB}--W. V. T. Clark

15. 1 Sometimes I lay,
2 the sharp bones of my hips meeting only the hardness of the sand,^{AB}
2 the sun puckering my skin.^{AB} --Nadine Gordimer

16. 1 She drank slowly at first,^{VC}
2 savoring each sip,^{VC}
2 feeling the coldness on her lips and teeth,^{VC}
2 tasting the sweetness that turned to sourness as the liquid rolled back on her tongue^{VC}. . . .--EG

[The examples here show that the narrative detail may be the vehicle of delicate observation, of subtle intimations of character or mood, of the imaginative rendering of experience.]

17. 1 In a pause Rosemary looked away and up the table where Nicole sat between Tommy Barban and Abe North,
2 her chow's hair foaming and frothing in the candlelight.^{AB}--F. Scott Fitzgerald

18. 1 I walked with my head down,

2 watching the light catch on the ridges of Joe's brown corduroy trousers and then shift and catch again.^{VC} --Carolyn Gordon

19. 1 "I am now third lieutenant of the Victorieus," he said,
2 detaching his shoulders from the wall a couple of inches to introduce himself.^{VC}--Conrad

20. 1 Bartlett sat down slowly,
2 Letting himself go the last few inches,^{VC} and
fumbled for a cigar in his vest.--W. V. T. Clark

21. 1 He spoke rather slowly and quietly,
2 rubbing his nail down the side of the toothpick jar.^{VC}--A. M. Lindbergh

22. 1 . . . he heard the bell ringing itself to sleep,
2 jerking the slatting rope about in its dying echoes.^{VC}--Thomas Wolfe

23. 1 And over all the shadowy screech owls sailed,
2 drawing a smudge of shadowy fear below them on the ground.^{VC}--Steinbeck

Comparison

The emphasis at first should be on details, but comparisons will pop up spontaneously. Details call for observation, comparisons call for imagination.

The teacher can do more to nurture the first than the second. One has to be on guard against the trite comparison, the inappropriate or incongruous one, the clumsily worded one. The comparison must be original, and it ought to be apt and neatly phrased. I have seen comparisons that were both original and apt that had to be abandoned because no way could be found to bring them within a tolerable compass of words.

Comparisons may be either literal or figurative. Those in adverbial clauses of manner, with subordinators as if or as though, are usually literal.

Comparisons Not Set Off

[Since the comparison is often a PP, it is often not set off, but even some clauses are not set off. The examples were chosen to illustrate some of the constructions used.]

24. Drizzle hung in the air like dots of a newspaper photograph.--Sidney Alexander
25. The storm had rolled away to faintness like a wagon crossing a bridge. --Eudora Welty
26. In a corner Ed James was beaming and giggling to himself softly like a kettle about to come to a boil.--Dos Passos
27. 1 When she walked she carried herself like a ballet dancer,
    2 not slumped down on her hips but
    2 held up in the small of her back.--F. Scott Fitzgerald
28. I heard the meadow cricket shuffling his harsh, folded wings with the staff sound of a fan flung open.--D. C. Peattie
29. Every now and then his mouth opened to let out a plump cloud of smoke with the faint plop of a stopper pulled out of a bottle.--Mary King O'Donnell
30. The evening became then as still as a room with no one in it.--Joyce Cary
31. The eyes blinked slowly the way a frog blinks.--Steinbeck
32. His eyes became fixed and thoughtful as if he were reading in a poor light. --K. A. Porter
33. He didn't swing his arms when he walked, but let them hang down as if he had a pail of water in each hand.--W. V. T. Clark

Comparisons Set Off

[In this set, the comparison is set off; it is a sentence modifier, not a word modifier. The punctuation changes the intonation and thus emphasizes the comparison. The constructions used are the same, but they are treated here as constituting a second level.]

34. 1 I seemed to see all their smiles switched off,
    2 like footlights.--Dorothy Thompson
35. 1 Farnley was climbing onto his horse.
    1 He moved slowly and deliberately,
    2 like a man with his mind made up.--W. V. T. Clark
36. 1 An occasional involuntary sob shook her--
    2 like pre-ignition in an overheated engine which has already been switched off.--Lawrence Durrell
37. 1 There was a softening of the tension in the air,
    2 a little, I thought, like candlelight replacing the glare of torches. --James Thurber
38. 1 His walk was belly-heavy,
    2 as if he had to remind himself not to step on his own feet.--Saul Bellow
39. 1 He stood brushing his hand over his smooth gray hair,
    2 as if he were trying to clear away a fog about his head.--Cather

40. 1 He carried himself stiffly,
2 almost as if he had a spinal injury.--Mary McCarthy
41. 1 The boy went around twice,
2 as though the applause had gone to his head and made him a little silly . . . .--Wright Morris

Comparisons Included in the Second Level

[In this set the comparison does not itself constitute a second level but is included, without punctuation, in a second level. See 2, 6, and 13 above.]

42. 1 . . . but the music went on, now a sad love ballad,
2 dropping guitar notes on the air like silver dimes.--Wm. Styron
43. 1 He and Nicole looked at each other directly,
2 their eyes like blazing windows across a court of the same house. --F. Scott Fitzgerald
44. 1 She greeted him at the front door,
2 her face as composed as if she were meeting the groceryman.--Wm. Styron
45. 1 Arthur peered at her too,
2 squinting as if he were trying to see something a long way off, or through a blinding light.--W. V. T. Clark
46. 1 She walked slowly,
2 picking her way as though she were afraid she would fall.--Steinbeck

I will not presume to suggest the subjects for assignments or the number of assignments. It is well to lay the foundation slowly and carefully. This is the place to demonstrate what can be done by revision.

Do all the assignments yourself first, concentrating on the experience, letting the experience guide you, not these pages of analysis. Then, when you have your sentences written, see whether you have used the methods and constructions described here. If you have, you have a double vision, that of the creator and that of the critic.

B. The Multilevel Sentence

In selecting examples of two-level sentences, I had to be careful not to trespass on the ground of this exercise, the multilevel sentence. A long sentence is likely to look complicated merely because it is long, and one has to make sure not to take it for more complicated than it is. It took a moment or two to puzzle out this sentence about two youths who are driving across a river bridge.

> Ike suddenly saw muddy, bronze water rolling beneath them, flipping over itself in the center of the stream, moving slower and slower toward the banks, and hardly moving at all around the cottonwood trunks where it overflowed.--Umphrey Lee, Jr., "The Egg Farm"

But it soon became evident that there were only two levels, with three second-level verb clusters, the three describing different rates of flow in the river, the eye moving from the center, to the banks, to the flooded bottomland.

What does it take to make a third level? Consider this interesting sentence.

1 Some mornings Ellen wakes up by herself and comes on tiptoe down the hall to the big bedroom,
2 her yellow sleepers faded and wrinkled,

2 the worn feet flapping around her ankles like puppies,
2 her fists rubbing her eyes,
2 her senses not quite awake but guiding her surely toward the middle region of the big bed.--LD

When you come to the second take, you see that there is something wrong with this reading. How could a child's feet be worn and how could her feet flap around her ankles? Then you catch on. The "feet" are not the feet of Ellen, at level 1, but the worn feet of the yellow sleepers, at level 2. The in place of her is a clue. Thus "the worn feet flapping" must be level 3; it is subordinate to "her yellow sleepers faded and wrinkled" because the feet are part of the sleepers.

Study now the third-level element in these sentences. You will see that it cannot be related to the first level; it could not be used in the sentence without the second level. (This test is not always valid; sometimes the second level can be bypassed. I have used it here to establish the fact of the added level.) You will see, too, that the third level, being at a lower level of generality, is likely to be concrete and hence vivid, or it may be a comparison.

1. 1 She sat surrounded by packages,
2 an orchid corsage pinned to her dress above her left shoulder,^{AB}
3 the petals fluttering with her movements.^{AB}--FW

2. 1 The assistant manager fussed over him,
2 wiping a cut on his leg with alcohol and iodine,^{VC}
3 the little stings making him realize suddenly how fresh and whole and solid his body felt.^{AB}--Irwin Shaw

3. 1 Evans laid the yoke on one of his oxen and pinned the bow and spoke to the teammate,
2 holding the yoke up while the second animal stepped into place,^{VC}
3 its ankles creaking.^{AB}--J. B. Guthrie

4. 1 In a few minutes he came back,
2 still wiping his face,^{VC}
3 as if there were cobwebs on it^{SC}. . . . .--Robert Nathan

5. 1 He could see the stallion rolling away before him down the slope,
2 its long and heavy tail and mane streaming,^{AB}
3 their flow giving shape to the invisible wind.^{AB}--W. V. T. Clark

[The next two sentences make use of rather unusual constructions. The so-that-clause is an adverbial clause of result(SC)it suggests a fourth method, it is rare and it tends to become expository. In the other sentence, weightless is an adjective and the as if-clause modifies it; thus the construction is an adjective cluster (AC). Perhaps it should be called descriptive rather than narrative. The weightless one is a bullfighter.]

6. 1 He was young and fresh, but
1 he walked with his head thrust forward,
2 so that his shoulders seemed raised and rounded,^{SC}
3 as if he had a slight curvature of the spine.^{SC}--D. H. Lawrence

7. 1 He watched the boy with the gait of the dancer, / , flick the cape as if to rid it of a few moths.
2 weightless as if he walked on water^{AC}
3 the hips arrogantly forward^{AB} —Wright Morris

[All of the above are the simplest sort of multilevel sentences, with only three levels, the minimum number, and with only one element at the second and third levels. In the next set, there are two elements at either the second or third level.]

8. 1 The boys ate warily,
2 trying not to be seen or heard,
3 the cornbread sticking,
3 the buttermilk gurgling, as it went down their gullets.--K. A. Porter

9. 1 She draws a cigarette from the turquoise pack of Newports and hangs it between her orange lips and frowns at the sulphur tip as she strikes a match,
2 with curious feminine clumsiness,
3 away from her,
3 holding the paper match sideways and thus bending it.--John Updike

10. 1 The strangers, / , stared at the thickening of the dark . . . .--Dylan Thomas
2 huddled against the wall,
3 their hands deep in their pockets,
3 their cigarettes sparkling

11. 1 Mrs. Koch knitted without looking,
2 a fine sweat cooling her brow,
2 her eyes absently retaining a look of gentle attention,
3 as if she had forgotten that she was not listening to someone.
--Nadine Gordimer

12 1 The guant figure slumped in the bench,
2 the thin legs wide apart at the knees,
2 the hands, / , hanging nervelessly over the front edge.--AN
3 blue veined and white at the wrists

13. 1 How grateful they had both been for the coffee,
2 she looking up at him,
3 tremulous,
3 her lips pecking at the cup (,)
2 he blessing the coffee as it went down her!--Hortense Calisher

[The above are all fairly forthright three-level sentences. Some don't yield so readily to analysis. In 14, you have to see the three third-level absolutes as interpretations of the comparison with French countesses. In 15, you have to see the three third-level absolutes so details picturing the bull standing stopped. The phrase "with a clattering . . ." goes with "the bull charged . . ."]

14. 1 Even the dogs are conscious of their breeding:
1 the big black poodles sit bolt upright in the seat next to the chauffeur,
2 like witty French countesses off to the races.
3 their tufted chins tilted above their rhinestone collars,
3 their eyes beady,
3 their topknots fresh from the drier.--Marya Mannes

15 1 Then I saw a dark muzzle and the shadow of horns, and then,
2 with a clattering on the wood in the hollow box,
1 the bull charged and came out into the corral,
2 skidding with his forefeet in the straw as he stopped,
3 his head up,
3 the great hump of muscle on his neck swollen tight,
3 his body muscles quivering as he looked up at the crowd on the stone walls.--Hemingway

[Three levels are not the limit. In fact, there is no limit. I have collected sentences with as many as ten levels. But for high school students perhaps one more level is enough to aim at.]

16. 1 The tug came back downstream,
2 the water shearing in long rolling cylinders,
3 rocking the float at last with the echo of passage,
4 the float lurching onto the rolling cylinder with a plopping sound and a long jarring noise . . . .--Faulkner

17. 2 With lightning speed
1 the club moved away in an arc, stopped, and started back down,
2 the golfer in fluid motion,
3 his arms and legs braced for the moment of impact and
3 his wrists cocked,
4 ready at the proper moment in time and space to whip the club forward to add to the momentum already created by his rotating body.--MW

Let us conclude our illustration of the multilevel sentence with a few sentences involving constructions that may puzzle you at this stage. In each of the first three, if the underscored phrase were set off, it would constitute a separate level. Since it is not set off, according to the rules we have established we must not make it a separate level.

18. 1 The squirrel crossed to another tree,
2 moving on the ground in long, small-pawed, tail-exaggerated bounds. --Hemingway

19. 1 She swept up the cards and began to shuffle with the abandoned virtuosity of an old riverboat gambler,
2 standing them on end,
2 fanning them out,
2 whirling them through her fingers,
2 dancing them halfway up her arms,
2 cracking the whip over them--J. F. Powers

20. 1 The stewardess stood at the first seats with her hands resting on either side,
2 waiting to get everyone's attention,
3 as though she were on a stage.--John Ferrone

[I had a great deal of trouble with the next sentence, my problem being the doer of the action of hurrying. Is the doer she, or both arms, or just the other arm, the one reaching up? Can you tell what choice of doer the analysis indicates? Could this level be deleted, reducing the sentence to three levels?]

21. 1 She set her hair dexterously,
2 one arm bent over the top of her head,
2 the other reaching up beside,
3 hurrying through the practiced ritual,
4 fingers deftly twisting, rolling, pinning the hair into a pattern carefully calculated to provide the "casual" hairdo then in fashion. --NC

[I cannot tell whether the next sentence has two or three or four levels. The panicles are borne on the stems, and could be taken as a part of the stems, but possibly the author thinks of stems and panicles as parallel.

What reflects the mild sunlight—the panicles (or the seeds of the panicles) or the trooping redtop? I think I would make this a three-level sentence.]

> The misnamed redtop troops across the fields, its purplish stems standing rank to rank, the panicles turning a dull gold as the seeds fall, reflecting the mild sunlight of lazy Indian summer mornings.
>
> —D. C. Peattie

With this second finger exercise, as the first, the subjects are inexhaustible. There should be a dry run in class, perhaps using as a starting point some of the better two-level sentences. Some students do better by making a structural analysis of the sentence as they write it. Others do better by keeping both eyes on their subject and then making a structural analysis of what they have written and using the analysis for checking and revising. But however they work, they should hand in their sentences in both forms.

You can learn a great deal about punctuation from these sentences. It may seem improbable, offhand, but almost the only mark used is the comma. This mark not only sets off the subordinate levels as nonrestrictive, but also separates the coordinate elements. My puzzlement about the feet was really feigned. I doubt that any competent reader would fail to take that item out of the series of three. Medially placed modifiers, as in 10 here and in 12 in the preceding section, could be set off by a pair of parentheses, but they usually are not.

The only punctuation that constitutes much of a problem, even to those who have a good command of the structures of English, is restrictive-nonrestrictive—that makes the difference between word and sentence modifier, between bound and free.

ADDENDA

Three of the sentences from the passages used back in the preview combine narration and description in a way that none of the sentences in this section illustrate. This is how they would be analyzed.

[NOTE: The second sentence below illustrates the way compound verbs are diagrammed.]

Form A

1 He had ten yards in the clear and picked up speed,
  2 breathing easily,
  2 feeling his thigh pads rising and falling against his legs,
  2 listening to the sound of cleats behind him,
  2 pulling away from them,
  2 watching the other backs head him off toward the sideline,
  2 the whole picture, / , all suddenly clear in his head, for the first time . . . . not a meaningless confusion . . .
    3 the men closing in on him,
    3 the blockers fighting for position,
    3 the ground he had to cross

  2 Without thought,
    3 his arms and legs working beautifully together,
1 he headed right for the safety man,
  stiff-armed him,
  2 feeling blood spurt instantaneously from the man's nose . . .,
  2 seeing his face go awry,
    3 head turned,
    3 mouth pulled to one side.

From B

2 Immobile,
1 she was half hunched at the back of the cage,
2 her legs tucked under her somewhere
2 her weight on her stomach, and
2 her chin resting on her folded, hairy arms—
2 an absurd pile of rubbery spheres,
3 round head and soft-ball size muzzle and full breasts,
4 all balanced somehow on the great medicine-ball belly.

C. The Noun Cluster

Narration has to do with action; what is added is added to sharpen the image proposed by the verb. Description has to do with the appearance of things; what is added is added to sharpen the image proposed by a noun. Verbs have only one function in the base clause of a sentence; they are the headword of the predicate. But with nouns it is different; the noun has many functions—subject, complement (object, indirect object, subjective and objective complement), object of preposition—and, besides these, appositive. The appositive is of especial interest. The appositive noun is a noun set down beside another noun in order to explain it. Both nouns have the same referent. Compare "George is my friend' and "George, my friend, is now here."

An appositive may be set off by punctuation or not set off; that is, it may be restrictive or nonrestrictive; or, to use the simpler terms, it may be bound (restrictive, no punctuation) or free (nonrestrictive, set off by punctuation).

Now, any common noun, regardless of its function in the sentence, may have modifiers; the noun headword plus the modifiers constitutes a noun cluster. The noun cluster is the vehicle for the description of the appearance of things. But there is a limitation that many teachers are not aware of. A noun embedded in the sentence as subject or complement or object of preposition cannot carry a heavy load of modifiers. The main, or base, clause of a sentence must be kept simple; the noun clusters within the base clause must be kept simple. If they are not kept simple, the sentence will lack movement, will lack rhythm; it will be hard to read; the writer is on the way to becoming a writer of jargon or gobbledygook.*

To avoid this dismal disease and to achieve a style capable of concreteness the writer must learn to use the free noun cluster—the nonrestrictive appositive. Not all description of the appearance of things is carried by this vehicle, but the other constructions come naturally; this is the one that has to be taught. It is as frequent in expository as in narrative-descriptive writing, so that one again is harvesting two birds with one shot.

As we have said, the same three methods (qualities, details, comparisons) are used for describing both actions and things. The same grammatical constructions are also used as vehicles, with these two differences, that adjectives are added to nouns instead of the adverbs which are added to verbs and that relative clauses are occasionally used to carry details.

---

* Here is a sentence that is overloaded; ~~it lacks rhythm~~: "The players stand on these canvas islands to throw their flattened black balls with identifying colors on their flattened sides." Dividing the sentence into two parts, putting the narrative part in the base clause, the description in an added noun cluster, gives movement to the sentence: "The players stand on these canvas islands to throw their bowls—flattened black balls with identifying marks on their flat sides."

Description is more complicated than narration. I will simplify our treatment of it by concentrating on the free noun cluster. But even so, it may be worth a few pages to illustrate what we are leaving to nature.

In the first set of examples below, both the noun headwords and the description added to them are embedded in the sentence. The headwords, underscored twice, are subject, or complement, or object of a preposition. The added modifiers underscored once, are all bound or restrictive. The only punctuation is the comma, and all the commas separate coordinate elements--either coordinate adjectives as in slaty, windy (other pairs are not separated) or the coordinate objects of observed in sentence 7.

The adjectives sharp and chill in 3 are predicate adjectives (Sentence Pattern 2), not added modifiers, and hence are not underscored.

There are three relative clauses here. That in 4 is clearly the vehicle for a descriptive detail; those in 6 and 7 suggest action, that is, narrative details.

Notice that many of the nouns in the underscored phrases and clauses have their own added modifiers, and these even may have further modifiers. The best example is the second object of with in 6:

small white shapely hands that flickered, etc.
that flickered like protesting doves when he preached.

1. There were villas with iron fences and big overgrown gardens and ditches with water flowing and green vegetable gardens with dust on the leaves. --Hemingway
2. It was a slaty, windy day with specks of snow sliding through the trees. --Saul Bellow
3. Dawn came sharp and chill with red clouds on a faint green sky and drops of water on every leaf and blade.--Katherine Mansfield
4. He dried Milly's tears and blew Fainy's nose in a big new pockethandkerchief that still had the tag on the corner.--Dos Passos
5. He was a tiny little wisp of a man with the sort of eyes one finds sewn on to rag dolls.--Lawrence Durrell
6. Reverend Dobson was a delicate young man with great dark eyes and small white shapely hands that flickered like protesting doves when he preached. --John Updike
7. I observed the pallid face, the high bulging forehead under the metallic white hair, the pale blue eyes that did not focus on anything, and thin, sensual mouth, the small determined chin and the lobeless ears . . . .-- Allen Tate

The next set of sentences have the noun headword (underscored twice) embedded in the base clause as subject, complement, or object of preposition. The added description, however, is free--set off from the headword by punctuation. Since the added elements are free, they constitute an added level. The sentences have been arranged to illustrate in order the three methods--qualities, details, comparisons. The sentences illustrating the use of qualities have some good examples of the adjective cluster.

Qualities

8. 1 [Her gray eyes] picked out the swaying palms,
   2 precise and formal against a turquoise sky.--M. K. Rawlings

9. 1 Her hair was brushed back from her face,
2 very black and bright like the hair on a china doll.--Dorothy Baker
10. 1 His hair, / , was gray about the ears.--Willa Cather
2 coarse and curly as the filling of a mattress
11. 1 Don Antonio was a large man,
2 heavy,
2 full at the belt,
2 a trifle bald,
2 and very slow of speech.--Willa Cather
12. 1 He came down into the air with great relief,
2 suddenly smelling the night,
3 clean but still warm,
3 faint with the sweetness of corn straw and
3 more thickly faint with the odor of water and water-washed stone after the heat of day.--H. E. Bates

Details

13. The green hydrant,
2 with a little green-painted chain attached to the brass screwcap.--Conrad Aiken
14. 1 He was a short, stringy, blond man,
2 with a freckled face with no beard or mustache but always a short reddish stubble.--W. V. T. Clark
15. 1 The ancient Hudson, / --this was the new hearth, the living center of the family.--Steinbeck
2 with bent and scarred radiator screen,
2 with grease in dusty globules at the worn edge of every moving part,
2 with hubcaps gone and caps of red rust in their places
16. 1 . . . when dinner was ended the big plum pudding would be carried in,
2 studded with peeled almonds and sprigs of holly,
2 with bluish fire running around it and
2 a green flag flying from the top.--James Joyce
17. 1 Our load . . . was drawn by great shaggy-footed cart-horses [,]
2 their harness bright with brass ornaments,
2 their manes and tails plaited with colored ribbons . . . .--Herbert Read

Comparisons

18. 1 The sky was black and sagging,
2 like an old tarpaulin.--Jan Struther
19. 1 Her hair began to fall longer and straighter on her shoulders,
2 like crepe paper that has been stretched.--JM
20. 1 There were two gulls, / , over the river.--D. H. Lawrence
2 like flashes of water and snow
21. 1 The moon stood already, / , in the clear washed skies of evening.--Thomas Wolfe
2 like its own phantom
22. 1 The lines around his mouth and at the corners of his eyes and across his forehead were deep and exact,
2 as if they were cut in dark wood with a knife.--W. V. T. Clark

We come now to our goal in this section, the free noun cluster. In the free noun cluster, the noun headword is not in the base clause; it is in apposition to some word in the base clause. (You can see a parallel here with the absolute, which, unlike the verb cluster, includes its own subject.) The examples are arranged into two sets. In the first set, the entire sentence--base clause and

and added cluster--is descriptive. In the second set, the base clause is narrative and the added noun cluster is descriptive. This is the characteristic way of handling description in modern prose style: narration and description are interleaved; the description, in the form of a noun cluster, rides piggyback on the narrative sentence.

The added noun cluster constitutes a second level, and I have analyzed the sentences by levels. Some of the free noun clusters have free modifiers of their own. These constitute a third level. Thus we see that the multilevel sentence is used for description as well as for narration.

You will note that some of the added levels are narrative, rather than descriptive. This is to be expected and welcomed.

I have underscored twice both the headword of the noun cluster and the noun (but note two verbs in 29 and 30) in the base clause it is apposed to.

23. 1 There was his friend Lionel Griffin,
2 a pudgy simp whose blond hair puffed out above his ears in two waxed wings.--John Updike

24. 1 He was three or four years older than Eugene,
2 an awkward, heavy, muscular boy,
3 smelling always of his father's paints and oils,
3 coarse-featured,
3 meaty,
3 sloping jaw and
a thick catarrhal look about his nose and mouth.--Thomas Wolfe

25. 1 He was forty,
2 a short, thickset man with a wealth of stiff, black hair,
3 combed straight back without a parting,
4 like a Slav bicyclist.--John Updike

26. 1 It was scarcely a field,
2 merely a shirt-tail corn-patch,
3 half taken by late weeds,
3 the scraggly stalks now silvered by moonlight.--R. P. Warren

27. 1 Twigs of bushes leaned over the walls:
2 the little hard green winterbuds of lilacs,
3 on grey stems,
3 sheathed and fat.--Conrad Aiken

28. 1 August got the license of the county clerk,
2 a little crippled man with one shoulder higher than the other.--Ruth Suckow

29. 1 It had been raining for a long time,
2 a cold rain falling out of iron-colored clouds.--James Thurber

30. 1 It was already snowing,
2 a first, soft, downward feathering.--Jessamyn West

31. 1 Granmom's eyes, / , widened behind her cockeyed spectacles.--John Updike
2 worn bits of crazed crystal embedded in watery milk

32. 1 I had found before a bank of crocuses,
2 pale, fragile, lilac-coloured flowers with dark veins,
3 pricking up keenly like myriad little lilac-coloured flames among the grass, under the olive trees.--D. H. Lawrence

33. 1 A few hours later we caught two small dolphins,
    2 startlingly beautiful fish of pure gold,
      3 pulsing and fading and changing colors.--Steinbeck
34. 1.He shook the sand through the screen, and
      left the sand-crabs wriggling and scuttling on the wire,
    2 heavy little creatures,
      3 shaped like scarabs,
      3 with gray-mottled shells and orange underparts.--Steinbeck
35 1 "Wait," the sheriff said and turned in the front seat,
    2 a tremendous man,
      3 neckless
      3 in an unbuttoned waistcoat and collarless starched shirt.--Faulkner
36. 1 I stepped out into the night,
    2 a deep, silent blackness,
      3 the only sounds the rustling of leaves in the wind, and from somewhere nearby the gurgle and rush of a small stream.--MJ

37. 1 On the sidewalk . . . a sandwich-board man pauses nobly,
    2 one hand resting lightly on a trash basket--
    2 a fine, friendly Hibernian,
      3 wearing a crumpled hat, a mismatched baggy tan suit, and a flashing scarlet nose.--Eli Waldron

Not all description rides piggyback on narrative sentences. Sometimes the narrative is interrupted for a look around, just as on an automobile drive we stop to take in a view. Then we get a base clause like these:

a. Now, in the late afternoon, there were people everywhere--all the magic of Camusfearna was fixed in that morning:
b. He was surrounded by wide slanting shelves of fruit and vegetables, smelling of the earth and morning--
c. He had looked upon the scene time out of mind, but now, suddenly, he seemed to see it with eyes new washed:
d. They were silent a few minutes, while Aunt Eva rummaged through her handbag, bringing up odds and ends:

What follows such base clauses is a parallel series of noun clusters, enumeratimg the "people" or the "odds and ends," with as much added description as is required to suggest the "magic" or the "smell of earth and morning."

38. 1 He was surrounded by wide slanting shelves of fruit and vegetables, smelling of the earth and morning--
    2 great crinkled lettuces,
    2 fat radishes still clotted damply with black loam,
    2 quill-stemmed young onions newly wrenched from gardens,
    2 late celery,
    2 spring potatoes, and
    2 the thin rinded citrus fruits of Florida.--Thomas Wolfe

Although sentences of this pattern do not occur on every page, they make an excellent exercise in the noun cluster, emphasizing diction as well as structure. The student should vary the pattern of the clusters; if they all have the same pattern (say, two adjectives before and a with-phrase after the headword) the reader will soon notice only the pattern. I will add a few examples written by students. I have underscored twice the key word in the base clause and also the headwords of the noun clusters.

39. Aunt Mary called us to the table, and before our eyes lay a dinner one dreams about: a shimmery red aspic, with sturdy green leaves of Romaine

as its foundation; golden brown muffins like California hills at sundown and, best of all, a ham, pink and steaming, with thick, yellow slices of pineapple all over its vast surface.--DH

40. He settled in the chair, balancing his late morning coffee, and stared at the burned remnants in the ash tray: half-smoked cigarettes, brown-tipped white cylinders, lying bent and crushed amid the grey ash dust; a pile of brown tobacco shreds under the innards of a cotton filter, brown with nicotine; and, balanced precariously on the lip of the ash tray, a burned-out butt, with faint pink grease-stain on the rice-paper wrapper.--SL

41. I stood outside the bakery window and hungrily eyed the contents: neat pyramids of crumbly light-brown cookies; small round layer cakes plastered with thick pink frosting, smooth on the sides, ruffled into rows of prim wavelets on the tops; a tumbled pile of shiny-crusted loaves of French bread, and poppy-seed-covered hard rolls of all shapes and sizes; pies with thick meringue browned to a "sun-tan" color; thick cream pies topped with fancy-shaped ropes of whipped cream; dun-colored pumpkin pies, wholesome and unaffected; a paper-lined tray of fat eclairs thickly smeared with dark, shiny chocolate; cup cakes in fluted paper baking cups--some iced with white fondant, some with chocolate, and some left unadorned, hinting of raisins and nuts.--RCP

42. Stirring in her purse, she sighed voicelessly, spilled the contents on the bed and surveyed the collection: a crumpled, lace-edged handkerchief with a crooked, yellow "M" embroidered in one corner; three sharpened pencils crossed like pick-up sticks on the tufted bedspread; a green leather glasses case with a square of adhesive tape, her name and address inked on it; two rusty bullets of lipstick; tangerine-streaked tissues; a beige wallet pockmarked with splotches of red ink; a creased color photo of a dinghy, heeling over, sail taut; and, streaming over the edge of the bed, a long chiffon scarf, splattered with pink carnations, wilted with wrinkles.--MR

D. The Language of the Senses

Most of the imagery in the sentences quoted so far has been visual imagery, drawn from and appealing to the sense of sight. We have noted, though, that narrative details may draw from any of the senses. The sense of sight is the most intellectual, the least sensual, of the senses. Sounds often come to us with something of a physical shock. Smells come to us as part of the very substance of the source. Touch and taste bring us into immediate physical contact with the object inside us, like the lady in the tiger.

Good writers seem to draw on inexhaustible or perpetually renewed funds of sensory experience. You can hardly read a page of Hemingway or Faulkner without feeling the pull or pressure or temperature or texture of things, without getting an earful of the sounds or a noseful of the odors that pervade their world. And in Hemingway you can savor food and drink without satiety or credit cards. Nonvisual imagery immerses you in the concrete world.

The verbal representation of nonvisual sense impressions, in contrast to visual ones, is marked by two differences. The first is in the noun headword. With visual imagery, the noun headword usually names the object itself--the object which the sense of sight delivers to us. Here the noun headwords are underscored twice and the added modifiers (qualities) once: a small head with a red fleshy face, small black eyes, thick black eyebrows." But sometimes, though rarely, instead of putting the object itself in the center of the stage, the writer puts some quality of the object in the focus of attention. He could speak of the smallness of the head, the redness or fleshiness of the face, the smallness or blackness of the eyes, or the thickness or blackness of the eyebrows. When the quality is put first, the name of the object comes trailing after as object of the preposition of. Here is an actual example, from Faulkner, who perhaps more often than any other contemporary writer puts the quality first: " . . . the church stood among the sparse gleam of marble headstones in the somber cedar grove . . . ." Experimentally, we could reverse both of these headwords: "the church stood among the sparse (or sparsely) gleaming marble headstones in the sombreness of the cedar grove . . . ."

The point, now, is that what is the exception with visual imagery is close to being the rule with nonvisual imagery. The noun headword, usually but not always, names the quality--the sound, the smell, the touch, the taste. This circumstance makes it necessary to use great care in the choice of the headword.

The second difference is that nonvisual sense impressions seem not to have parts, or we do not notice parts, so that the method of description by details, the most common and the most useful method for describing visual impressions, is not really available, except possibly with sounds. This limits the writer to qualities and comparisons. In this situation, he sometimes, as the examples show, tries description by effect. Description by qualities, which boils down to the choice of adjectives, calls for close observation and the intelligent choice of words. The use of comparison calls for the perception of likeness in things apparently unlike. We usually call a person who has this kind of perception imaginative. It is no small enterprise for a teacher to undertake to pluck diction from the nettles of factual and imaginative perception. But only the impossible is really worth trying.

Sense impressions can lodge themselves in so many verbal chinks that it would be useless to try to classify them. Sometimes they are not stated but implied or suggested. As a starting point, we should note that nonvisual sense impressions, like visual ones, can be handled as either narration or description; that is, we can say "we smelled the rose" or "the smell of the rose"; "the bell sounds clearly" or "the clear sound of the bell." But to bring the subject within manageable compass, we can concentrate again on the noun cluster, preferring again the free noun cluster.

The type of two-level sentence with a parallel series of noun clusters after the base clause makes a good finger exercise. I suggest separate sentences, if there is time, on sounds and smells and perhaps on touch and on a combination of these. I would omit taste, unless you want to do what professional writers seem to have no interest in. I have been able to find only a few descriptions of the taste of things. What purports to describe a feast nearly always describes only the visual aspects of the spread, like this:

> Then, my father home to the smell of paint in the hall, we sat down to chopped cucumbers floating in the ice-cold borscht, radishes and tomatoes and lettuce in sour cream, a mound of corn just out of the pot steaming on the table, the butter slowly melting in a cracked blue soup plate--breathing hard, we sat down together at last.--Alfred Kazin

The various nonvisual senses differ greatly in the vocabulary available for the headwords. There is an almost limitless range of nouns available to name sounds, a small handful for naming smells, and only a very stingy pinch for naming the touch or taste of things. But whether there are many or few, there is still the problem of choice. Some of the words, for sounds particularly, will suggest personification, which we left supposedly strangled in the cradle. The fact is, though, that we do not have two separate sets of words, one for the representation of the human and another for the nonhuman. We can distinguish between the *actions* and *appearance* of human beings and their *feelings* and *volitions*. Thus, we can say that the wind howls and whistles and rattles the door, but not that it makes up its mind or hates or avenges itself. The first set of verbs does not really personify, but the second does.

Words used to describe sounds often echo, or seem to echo, the sound. We call them echoic or onomatopoeic. The sound, as Pope said, must echo the sense; one of the special values in describing sounds is training in this adaptation of sound to sensations. Despite the enormous number of words for sounds, writers seem unsatisfied and resort more here than anywhere else to coinage. Coinages are especially frequent for trying to communicate the sounds of birds, insects, machinery (*ta pocketa ta pocketa*), and the like; they are usually italicized and often doubled. The passage to illustrate this practice illustrates many other things as well--adjective and noun clusters and description by quality and comparison.

> Now in the burning sunny fields, white with yarrow and Queen Anne's lace, the little field sparrow spills out his song--the most tumbled ecstatic feature of the year. Beginning slowly and with intent to deceive you into believing that he has nothing much to say, he surprises you with the piercing brilliance of his powers. *Weet . . . weet . . . weet, wat, wt, wt, wt, trrrrrrreeeeeeee*!--it sounds like a thin pure brook filling up a small jug, first the fat little belly of it, and then the tapered neck, until suddenly the whole sparkling, joyful, irrepressible liquid is overflowing with a laugh.--D. C. Peattie, *Almanac for Moderns*, p. 97

I will give examples now of description by comparison and by effect, then of nonvisual imagery in narrative details and in free noun and adjective clusters, and finally the two-level sentence proposed for the written finger exercises.

Comparison

1. The voices outside rose in a flurry of noise, like a flock of frightened birds.--A. M. Lindbergh
2. But down here the noises were merely weird--the eccentric whirr of the strafing P-39s, sounding as if some big cog in each engine were unlubricated; the soft, fluttery sound of shells in flight, like the noise a man would make if he were to blow through a keyhole.--John Hersey
3. The windows were all closed, the two air-conditioners had been turned to "Shut," and the first breath one took was rather like inhaling deeply in someone's ancient raccoon-coat pocket.--J. D. Salinger
4. The thick dust was like plush underneath her feet.--Mary Deasy
5. The wind was blowing hard, and the rain slapped like a wet cloth on her face . . . .--Kay Boyle

Effect

6. The popcorn Elspeth was stringing squeaked a little now and then, and the lonely sound travelled up Elspeth's arm to her ear--which shuddered to hear it.--Jessamyn West

7. The stuffy smell, a mingling of turpentine, varnish, bacon, coffee, and kerosene oil, was so different from the crystal breath of the falling snow that it rushed over her like warm ashes, smothering, enveloping.--Ellen Glasgow
8. He did not like Old Janet's smell. It made him a little quivery in the stomach; it was just like chicken feathers.--K. A. Porter

Narrative Details

9. After that we rode on in silence, the traces creaking, the hoofs of the horses clumping steadily in the soft sand, the grasshoppers shrilling from the fields and the cicadas from the trees overhead.--E. W. Teale
10. At my back the turntable whirred, the needle making a dull scrape among the last grooves.--Saul Bellow
11. The engine started with a blast, the sound of it reassuringly the same in a strange world of sight.--A. M. Lindbergh
12. An owl went by, extinguishing sound, absorbing the trill of cricket and locust in its soft feathers.--Jessamyn West
13. He sat down beside her, the clean whiff of antiseptic soap filling the car as he banged shut the door.--Helen Hull
14. She rolled away from him, her sleep-warm fragrance filling all the darkness. Richard Sullivan
15. I lay down again. The rock had the comfort of spareness, resisting the spine firmly, like lying on the floor.--Nadine Gordimer
16. He didn't want to be . . . snatched out of the nest, find himself sitting in his unbleached muslin nightgown, the cold September air touching him like little pieces of iron.--Jessamyn West
17. Bumping across the car tracks, easing the car over a rutted intersection, feeling the built-up springs sink heavily, clear down, on a slow bump, he swung left to avoid the main streets.--W. Stegner

Noun and Adjective Clusters

[In sentences like "He slept a quiet sleep" or "He dreamed a curious dream," the transitive verb has a noun object that is derived from the same root as the verb. Sometimes, in sentences longer than these, a juncture creeps in (in writing, a comma) and, from being the embedded object, the noun becomes the headword of a free noun cluster. These noun clusters are fairly common; they are an interesting device for getting the description to ride piggy back. They are a striking example of the principle that subjects and complements cannot carry a heavy load of modifiers; it is as if the object, when it is heavily loaded with modifiers, simply bends and like an overloaded branch of a tree breaks. Example 24 shows that the branch may break off completely. Sometimes the headword is not "cognate," but a synonym, as in 23; the effect, though, is the same.]

18. . . . Alma coughed, a quick, shrill, peppery cough that at once earned her the right to answer.--Mary McCarthy
19. The dog began to howl, the high, steady howl of deadly hurt.--A. B. Guthrie
20. Bernice was giggling when she came back, a soft high giggle.--McCullers
21 It smelled of dust and disuse--a close, dank smell.--Faulkner
22. He grinned at her, a cracked, stiff, too-tightened-facial-tendoned grin. --Hemingway
23. The forward guywire of our mast began to sing under the wind, a deep and yet penetrating tone like the lowest string of an incredible bullfiddle. --Steinbeck
24. In the quiet kitchen, above the soft note of the water, the ticking of the

porcelain clock grew louder. A queer, hard tone, the beat of metal under porcelain, like a premonitory whir which might someday shiver the china into fragments.--Helen Hull

[The next two examples illustrate the free adjective cluster.]

25. The smell of gun smoke hung on the air, sharp and cleanly like the smell of a disinfectant.--R. P. Warren

26. And then Paula's voice, soft and intense as if she prayed, blew out to her from the music room--Jane Culver

[The sentence below shows some variety in the noun clusters. In "the inaudible start" and "two quick tugs on a muffled, leaden-sounding little bell" the headwords do not name the sounds; the adjectives suggest the sounds. The noun cluster "the trolley wheel traversing with a sucking snap the break . . ." looks like an absolute; I don't really know whether to call it that or not, even though the -ing is a predicate, not a modifier. In any case, the sound is suggested by presenting the sound maker in action; the description of sound here is in the prepositional phrase. The next example (28) will show the two types of noun clusters.]

27. I sat at the corner this afternoon and tried to count the different noises streetcars make: the whir of the wheels and the sibilant swish of the trolley as the car approaches; the high, piercing squeak of the brake shoes and the sighs of escaping compressed air released in spurts as the stop is made; the brisk admonition of the conductor to step up on "Both sides, please!"; the buzz of the traffic signal followed by the clear, brassy clangs of the motorman's bell and the conductor's immediate "all-clear" answer--two quick tugs on a muffled, leaden-sounding little bell somewhere in the front of the car; the inaudible start; the swift-rising rumble of the wheels, rattling across the intersecting tracks with a hollow, jarring sound; the protesting squeal of the wheel flanges against the curved rails; the trolley wheel traversing with a sucking snap the break caused by the Vermont Street wire; the rising hum of the motors, the metallic echo of the wheels, and the renewing song of the taut trolley wire as the car gains speed.--RCP

28. Drinking his morning coffee, he listened to the early noises: the chink of milk bottles on the doorstep and the milkman's heels scraping on the asphalt parking lot; a motor-bike sput-putting in the driveway; the whir and whiz of a telephone dial in the next apartment; the paper plopping underneath the window and the reverberating snore of a sand-blaster already at at work.--MR

29. He sat low in his seat, sensitive to the smells of the darkened theater: the antiseptic scent of a recently moth-balled fur; the greasy smell of buttered popcorn mingling with the musky pungency of expensive perfume and the sweet stink of hair oil; the strong odor of old plush seats, suggesting dust, sour sweat, and stale tobacco; and, most pervasive, the smell of the air-conditioning, cold and metallic.--MR

30. The heavy door creaked just a little as she opened it and entered the church dim and quiet now in the late afternoon, the air cool and damp, bringing with it all the remembered odors: the sharp clean smell of waxed linoleum; the acrid penetration of smoking wax, and, so faint as to almost escape notice, the sweet, heavy pungency of incense from the morning's Benediction --good smells, all, and comforting.--MJE

31. I watched a woman shopper choosing her vegetables: ripe tomatoes with dropsical skin, indented by housewife fingering, like a wet pledget of cotton

in her hand; purple grapes, a handful of child's marbles; onions with tissue-paper skin, crackling in her hand, but beneath the skin as firm as a baseball; cauliflower, a solidified calf's brain; celery, long green stalks, spilling water into her hand.--HWS

II. Composition

A. Suggestions

If these finger exercises have been successful, the student should have greater sensory awareness of the world about him. This in itself is a value, a value where it is achieved to a high degree as great as any other the teacher of humanities can work to establish. He should also have a sense of familiarity with those parts of grammar that are relevant when composition is taught positively--not negatively, as the avoidance of "errors." At this stage, he is likely to write with a sort of painful self consciousness. What he has learned about levels, about the methods of description, about verb and noun and adjective clusters and absolutes, about concrete and specific and metaphoric diction needs reinforcement, so that their use will become habitual. The finger exercises should be followed by a few longer assignments, of a page or two, putting sentences in a narrative context. Every teacher can work out appropriate subjects without relapsing into "My Summer Vacation."

I like for the first such assignment a highly restricted narrative, of from three to six or seven sentences, using as a subject an action that can be repeated, like an experiment, over and over until the writer knows his material really well. Such a subject is the cycle of a record player, beating eggs or waffle batter, a cut with a power saw or plane. For the dry run in class set up a record player or spirit duplicator or mimeograph machine. The purpose is not to explain the process (that is exposition), but to describe it as it appears to the senses. The base clauses divide the action into stages. The base clause may very well have a compound predicate--"The juice runs down in rivulets, sluices through a tube at the lower level of the bowl, hesitates in the strainer, and finally drips into the foamy, poppy-colored pool in the container below." For the added levels, the emphasis should be on narrative details and comparisons. A touch of description may be admitted, but preferably hitchhiking on narrative sentences.

In diction, this is the time to emphasize the use of metaphor--the metaphorical noun, verb, adjective, even adverb. Metaphor is not ornament; it is functional and essential. For example, if you are describing the mowing of a lawn, what term does the language have for the thin layer of grass which the blades throw up and back and gravity brings down? The language has no term, and notice the circumlocutoriness of my explanation. By metaphor it is "a green wake." You have a cut of lemon meringue pie, constructed, from the tin up, of pie crust, lemon filling, and meringue topping. Literally, the meringue topping is a "layer"; metaphorically, it is a foam, a froth, a fluff, a cloud, a drift, a surf, or what have you?

B. Examples

I will sign off with two examples of such tightly controlled narrative (Example C is a bonus.) and two of the freer sort that will replace "My Most Interesting Experience."

A

She placed a freshly cut stencil on the duplicator cylinder, shiny except for an occasional lavender smudge of fingerprints. As she cranked the handle counterclockwise, the cog-shaped rubber rollers, resting evenly on the stack of paper, advanced precisely one half turn with each oscillation of the cylinder, coaxing the sheets just far enough forward to be grasped one after the other in the grip of the rotating feeder rollers, then moved along in follow-the-leader fashion. She gradually stepped-up the speed of the revolving cylinder until it reached a steady metronomic rhythm, turning mechanically, spitting out the damp sheets against the restraining back stop, which converted the flow of erratic, fluttering paper into an evenly stacked pile. The process continued uninterrupted, the stack of blank sheets gradually diminishing, until the final sheet, cocked slightly, was misguided into the inflexible rollers and emerged crushed and wrinkled, coming to rest incongruously atop the neat stack of completed forms. - SMF

B

He turns the switch on and, with an almost silent whir, the shiny, razor-toothed blade of the buzz saw whirls with rapidly increasing momentum, the breeze from its motion fanning away the pine sawdust left from the last cutting. As the blade bites into the strip of rust-colored mahogany, twin streams of fragrant sawdust fly from each side like the snow from a plow cutting a path through a mountain pass. The keen blade bites ever deeper, the twanging buzz mounting to a scream. With a wail of protest, motor laboring, the blade meets a knot and almost stalls momentarily. Then, recovering its momentum, it screams through the remainder of the board.--GS

C

She worked the hardness out of the fresh piece of bubble gum, kneading it between her teeth, her jowls circling rhythmically, readying her weapon for firing. The stiffness loosened, she thrust it into position, clamping her upper and lower teeth on its edges to steady it against possible recoil. Her tongue pushed through the wad of gum, enveloping itself, projecting out of her mouth like the barrel of a gun. She expelled air in a steady stream between the layer of gum and the top of her tongue, stretching the thick, pink coating slowly, ominously, the pink fading into gray as the bubble expanded dangerously. Pop! The bubble exploded, spattering pink powder marks on her lips.--MMT

D. MIME

The house lights dimmed and the curtains parted, revealing seven musicians playing behind a dusky, gauze back-drop, where everything looked hazy and indistinct, except for several patches of white--the keys of the piano and accordion, the drum, the face of the banjo, and seven shirt fronts, V-shaped by lapels and neckties.

A man dressed in brown slacks and a matching, long-sleeved sport shirt walked on stage, his head high, his body relaxed. He stood in the center of a pool of light which formed where the slanting shaft of light reached the stage floor and radiated in all directions. Through the magic of his mobile base, his well-formed and graceful body, and his voice--either strong and clear, or breathy, or soft and vibrating, as the song demanded--he introduced us to a variety of characters, most of them French, from all walks of life.

Eyebrows raised, lids lowered, hands in pockets, shoulders back and swaying from side to side as he walked, he was a cocky but harmless provincial boy on his carefree Sunday walk through the park. As Battling Joe, the fighter, he hunched his shoulders, clenched his fists, and threw short punches, with bullet-like force, at imaginary opponents, while his feet danced about, scarcely touching the floor. Later on, his voice groaned and slurred from note to note in utter indolence when he sang about coffee planting from the point of view of the plantation worker. Arms limp at his sides, weight on one foot--the other extended, and slouching under a big straw hat, he made sheer charm of laziness. In a change of mood, he became a jazz hipster, hands and fingers blurred in furious quivering, shoulders raised, feet doing a frenzied step to the jarring rhythm of the music. Most often, though, as a boy in love with his girl, he swayed slightly to the music, made a suggestion with his shoulder or eyebrow, and sang in a soft, vibrating voice.

It was a delightful evening with Yves Montand.--VN

E. PERSHING SQUARE

I passed the people seated all around on the benches and on the concrete railings of Pershing Square: some chatting in groups; others alone, staring at the men and women that passed briskly by; some elderly men dozing, paunch-bellied, their heads dropped forward, bald, oblivious to the sounds of the metropolis surrounding the square. Rather than hurry through on my way to the library as I usually did, I sat down on one of the wooden benches, absorbing the idle mood, the sunshine, and, temporarily at least, abandoning the worries of school.

Next to me sat a woman, I conjectured in her seventies, lulled to sleep perhaps by fatigue, more likely by the warmth of the sun, her aged hands crossed on her lap, thick blue veins popping out from the loose skin, a brown walking cane by her side; and brought on, doubtless, by the soundness of her sleep, a thin crystalline trickle of saliva came from the corner of the half-opened mouth. All around the signs of age were evident. The man to the left of me sat crouched slightly forward, his mouth puckered inward as it does without the support of teeth, the lips occasionally pursing inward like an infant sucking on a bottle. Here and there were clustered groups of senior citizens around a chess game or a transistor radio, still others engaging in lively debates over Cuba, batting averages, politics, attempting to combat the boredom that accompanied empty time. Across the way, oratory, for which the square was famous, was going on. An attitude of indifference greeted the orator, an occasional passerby stopping, staring for a moment, and then passing on. Unconcerned with the sparse audience, the neatly dressed, blue-suited man paced up and down before the benches, one hand behind his back, the other chopping and cleaving the air, not unlike President Kennedy, an occasional melodramatic flourish accentuating each time he reasserted the object, his voice muddled by the distance, but now and then snatches of "Jesus Christ in heaven' becoming audible. Blissfully unconcerned with the message, brown robins hopped around the lush, green enclosure, seeking bits of food, one robin mistakenly picking up a piece of white paper, shaking his head with it, and then throwing it to the ground in search of a more digestible lunch.

Another half hour had passed before I could bring myself to leave the leisure that the square afforded: the view, the utter idleness, the observation of people whose only concern seemed the inexorable onslaught of time, here forgotten in the leisure and camaraderie of friends. I got up and walked grudgingly out of the square, passing the statue of Beethoven, somehow embarrassed for his dignity by the white bird droppings streaked down his head and shoulders.--ST

V. Answer Key to Exercises in the Student Packet

Exercise 1

Before transoceanic flights became commonplace, Charles A. Lindbergh explored possible routes in a Lockheed Sirius fitted with pontoons. For his longest flight, an 18-hour passage from Africa to South America, it took five tries to get the heavily loaded plane off the water. Mrs. Lindbergh, in *Listen! the Wind*, describes how each time they had to taxi, turn, and make their run. Twice, after failing, they turned a second time, taxied back, turned once more, and made a second run. Except for the first and last, these are the sentences in which Mrs. Lindbergh described the many turns.

Except in 8 and 14, the verb is the simple *turn*; some of the verbs have an adverb added--*slowly*, *heavily*, *clumsily*, *unerringly*. But what gives you the real feel of the experience, as if you were there in the cockpit, is added elements of the kind bracketed in sentence 1. Search out all the elements like those in the other sentences and enclose them in brackets. Make the two sentences of 3 over into one sentence on the pattern of those where you have placed brackets.

Sentence 15 is from a story, by another writer, but it has the same pattern as the most interesting of Mrs. Lindbergh's sentences.

The purpose of this exercise is to show that what we are concerned with in writing is *the way things are*--how they look, how they behave. We are concerned with experience; words and sentences are the means of communicating them, not the end.

1. It took so long, this lumbering ride, [the engine grinding ahead steadily], [the plane rocking clumsily.]

2. We turned down-wind, [the plane wallowing in the tide rip.]

3. He was turning, [the wings teetering again.]

4. The plane started to turn, slowly and heavily.

5. We trailed down the long stretch of water and turned again.

6. We turned slowly, [the lights of the shore swinging behind us as we faced the dark bay.]

7. Soon we turned, [the lights on the wing-tips dipping as we crossed the waves.]

8. We were at the end of the stretch, [starting to turn.] The plane lurched--ease back the throttle--give her her head--yes, she was swinging--slowly, clumsily; but unerringly into the wind.

9. He was turning now. He was going to try again.

10. He was turning the plane, [slowly and heavily wallowing in the waves.]

11. He was turning now.

12. He turned the plane again, slowly, heavily.

13. We turned toward the narrow strip of lights and taxied slowly back.

14. We tried out the engine; we throttled down; we swung into the wind.--Anne Morrow Lindbergh, Listen! the Wind

15. They were turning, [the light at the wing tip swinging in a graceful line across the black limits of the airport] . . . .--John Ferrone

Exercise 2

This exercise has the same purpose as Exercise 1. Insert brackets as in Exercise 1. The first sentence is a sort of introduction. The stone basin is that of the Indian well where the animals came to drink.

1. Sooner or later all minor, breathing rebels came to its stone basin under the spring in the cliff. . . .
2. A road runner . . . drank at the overflow, [sipping and stretching his neck,] [lifting his feet one at a time,][ready to go into immediate action.]

3. A red and white range cow with one new calf . . . the cow drank slowly for a long time; then she continued to wrinkle the water with her muzzle, [drinking a little and blowing, [as if she found it hard to leave.]]

4. The calf . . . put his nose into the water also, and bucked up as if bitten. She continued to return, and he returned, got water up his nostrils and took three jumps away.

5. Jackrabbits . . . drank in the rivulet, [their noses and great ears continuously searching the dark, electrical air] . . . .

6. An old coyote . . . drank at the basin . . . .

7. Nine antelope in loose file, with three silently flagging fawns, came on trigger toe up the meadow and drank at the well, [heads often up] [muzzles dripping], [broad ears turning.]

--Walter Van Tilburg Clark, "The Indian Well," in The Watchful God and Other Stories (Signet)

NB. as if bitten and on trigger toe have not been bracketed because they are not set off.

Exercise 3

This exercise is based on two-level sentences. The verb and adjective clusters and absolutes of the original sentences have been changed to full sentences. You are to retore the sentences to their original form, as in the examples. Two or three of the second-level elements belong within the first level rather than after.

Ex."And whose hat did you dream it might be?" inquired the old lady. She bared her teeth and twirled the hat on a forefinger to restore it.

"And whose hat did you dream it might be?" inquired the old lady, baring her teeth and twirling the hat on a forefinger to restore it.

Ex."And where did she fly to?" demanded Cousin Eva. Her sharp eyes pinned Miranda down to the bare facts of the case.

"And where did she fly to?" demanded Cousin Eva, her sharp eyes pinning Miranda down to the bare facts of the case.

1. She saw her mother in the clearing near the cedar trees, (.) ~~She was~~ walking cautiously on the sides of her feet to ease her bunions.
2. She paused once more to examine the front of the old house; (.) ~~She~~ puckering (ed) her lips as her eyes moved relentlessly from peeled wall to peeled wall.
3. He moved across the floor; (.) (H) his muscles ~~were~~ tense as if he were trying out ice or were walking a fence.
4. He watched the tall figure detach itself from the ring of shadow under the trees and approach across the clearing, (.) (I) its own dark shadow swimming (swam) before it in the pure light.
5. He stared straight down against the surface of the water, (.) ~~it was~~ faintly vitreous under the cloud that cloaked the stars.
6. At both ends of the alley the street lamps glowed through the murky air, (.) ~~They were~~ refracted into mammoth balls of light.
7. The doctor was again smiling; (.) (H) his eyelids ~~were~~ low against the little black pupils, in each of which was a tiny white bead of light.
8. A light, broken wind had come up with the sun, and snow ghosts ran on brief, aimless excursions over the level, (.) ~~They~~ rising (rose) from nowhere and vanishing (vanished) into nothing.
9. Thunderheads were piling up in the southwest, (.) ~~They were~~ livid white in front and black and ominous behind.
10. Britten was jotting something on a pad, (.) (H) his face ~~was~~ pale and hard in the yellow glare of the electric bulb.

11. The lamps were round hazy balls of light frozen into motionlessness, (.) ~~They~~ ~~were~~ anchored in space and kept from blowing away by black steel posts.

12. Beside them walked their long shadows, (.) ~~They~~ stretching (ed) right across the road with their heads in the buttercups.

13. She came swishing into the room; (.) (rising) ~~she rose~~, as she always did, high on her toes.

14. He watches Jewel as he passes; (.) (T) the horse moving (ed) with a light, high-kneed gait.

15. Outside, the wing of the plane edged along, (.) ~~It~~ slowly obscuring (ed) the intersecting patterns of light below.

16. The sun, ~~was~~ enormous in the slight haze, (.) ~~It~~ was gashing itself cruelly on a black pine tree.

17. I stepped on an old orange peel; (.) ~~It had been~~ sucked out and dried so long that it crushed like the shell of a beetle.

18. A long scarlet Buick, its paint ~~was~~ a swirling cosmos of reflections, (.) nosed in from the street and honked its horn.

Exercise 4

This exercise is the same as 3, except that the second level consists of two or three or four parallel elements.

Ex. Window washing was merely her work, but she seemed to derive a sober pleasure from it. She followed the rag with the glitter of her eyes, she pulled the frames up and down on their resonant cords. She moved the curved water line further and further across the spotted glass.

Window washing was merely her work, but she seemed to derive a sober pleasure from it, following . . . , pulling . . . , moving . . . .

1. The sun went down redly behind a ridge of scattered buttes; (.) (It threw) throwing into black relief the broken skyline and flushing (ed) a low range of hills beyond.

2. She stood turning in little quarter turns to dry herself, (.) (H) her head ~~was~~ bent

forward and her yellow hair (hung) hanging out streaming and tangled.

3. Leaving our Olympian heights, we began to circle down,(.) (T) the engine (ed) breathing more easily in a glide,(.) (T) the air (ed) whistling in the cowlings.

4. When the bowlers have finished at one end, they drift slowly to the other,(.) ~~They~~ (cross) crossing the faint diagonal swaths left by the mower,(.) ~~They~~ (pass) passing through the circles of shadow cast by the overhead lights.

5. They said little as they passed along the road,(.) ~~The~~ trees (ed) dripping on either side of them,(.) ~~A~~ few yellowed leaves (ed) fluttering to the ground beaten by the wind and the rain.

6. At the head of the stairs her inquisitors had stopped;(.) (They lit) lighting their cigars;(.) and ~~They~~ (ed) wedging their hats more firmly over their eyes.

7. Some of the passengers were awake now,(.) ~~They~~ (ed) straightening out their creased clothes and faces,(.) ~~They~~ (ed) stretching and (ed) yawning in the unresilient waking of those who have slept all night breathing bad air.

8. Women in house coats made their staggering way to the ladies' room,(.) ~~Their~~ hair ~~was~~ wound up on metal curlers,(.) ~~Their~~ arms ~~were~~ full of corsets, stockings, cold-cream jars, and toothbrushes.

9. He would be walking fast when he passed;(.) ~~He would be~~ hunched in his overcoat;(.) ~~He would be~~ holding his ears in turn with his yarn-mitted hands,(.) (H) his breath ~~would be~~ wisping about the crimson tip of his nose and his watering eyes.

10. Then he slows a little,(.) ~~he is~~ light and erect in the saddle,(.) (T) the horse (ed) mincing through the mud.

Exercise 5

This passage is from Song of Wild Laughter, by Jack Couffer, director and cameraman for some of Disney's wildlife pictures. Nikki is a young Alaska Malemute; Neewa is a black bear cub. You are to identify, by brackets, the added elements, and be prepared to discuss in class the sentences that include them. Are there any multilevel sentences?

> If there was one experience Nikki and Neewa most relished, it was riding in the truck. It was a reward partaken with bliss and delightful gladness. /Faces pointed ahead,/ they grinned into the wind. I often

Multilevel

Multi.

wished I could hear the comments of the motorists as they drove down the highway near Banff National Park and saw approaching them in the opposite direction a red stake truck, [on one side a huge Malemute, [ears blowing back,] [eyes squinted as he stared into the lanes ahead.]] and [on the other side, [forepaws gripping the rails,] [shiny fur rippling in the wind,] a two-hundred-pound black bear standing like a man.]

Multi.

When Neewa rode in back standing with his forepaws on the stakes,* he had a way of leaning his shoulders out over the side, [at the same time staring ahead with fixed concentration and assuming an attitude which always reminded me of Casey Jones speeding down the tracks, [his left hand on the whistle,] [his eye on the crossings,] and [his right hand on the throttle.]]

One day late in fall we drove far into the mountains, up toward the high country where snows came early, and as our truck climbed the grades, a cold heavy sky became black with the storm that swept in from British Columbia. We could see slopes above covered with the first snow of the season. On ridges the larches were gold under the dusting of white, and films of ice skimmed still-water ponds.

Neewa and Nikki had been separated for twenty-four hours in preparation for this day. Now the dog rode with me in the camera car, while "Casey Jones" was behind in his truck, [leaning out like that legendary engineer as he seemed to pilot his vehicle around the curves.]

We stopped at the edge of a clearing dotted with stunted pines and set up our cameras. The snow came heavily, [wet big flakes that clung to the trees in heaping mounds and lay on the ground a foot deep.] We protected our cameras with plastic covers. Only the lenses poked out, [like the eyes of ghosts peering from behind their sheets.] Then we unleashed the dog and the bear.

Compound predicate

Ditto

Nikki and Neewa behaved as if they had been separated for weeks. They bounded through the drifts, [dog running circles around bear,] [Neewa flopping in the snow, rolling in deliberately clumsy silliness, lunging at Nikki, falling like an awkward closn.] Neewa galloped to a snow-laden tree. He started to climb and the snow cascaded down, [nearly burying him when it came.] The mound exploded and he bounded away, [tackling Nikki and holding him tightly in a hug as they rolled in the clinging whiteness.]

In the brisk air they played for an hour without tiring, long after my own laughter made my sides hurt and took my breath. Of all the animal scenes I have filmed, before and after, I think none has been done more happily, with more feeling of participation and personal enjoyment, than that spontaeous afternoon of play, high in the Rockies, in the first snow of winter.

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* The expressions underscored would be bracketed if they had been set off by punctuation.

Exercise 6

These sentences have all been analyzed as two-level sentences with several parallel elements. But all of the sentences are multilevel. You are to determine which of those marked 2 should be marked 3 or even 4.

1. 1 He came out at once,
2 his hair wet and straggly,
2 his feet bare,
2 wearing the yellow silk dressing gown,
3~~2~~ his hands thrust deep into the pockets.

2. 1 Then the head of the steamboat began to swing across the stream,
2 its shadow swimging too,
3~~2~~ travelling long before it across the water.

3. 1 A school of minnows came by,
2 each minnow with its small individual shadow,
3~~2~~ doubling the attendance,
3~~2~~ so clear and sharp in the sunlight.

4. 1 She stood there waiting for him,
2 her legs far apart,
2 her hands jammed down into the pocket of her light coat,
3~~2~~ which was unbuttoned,
2 the rays of the street light falling whitely across her loose hair and across her face.

5. 1 I waved at Walt,
2 smiling,
3~~2~~ the way girls do in illustrations.

6. 1 Hitherto there had been little conversation, but
1 now Johnny came into the picture,
2 sitting on the gunwale,
3~~2~~ one lean finger pressing down the tobacco in his pipe,
3~~2~~ his far-sighted eyes searching the shelves for game.

7. 1 She walked beside him down the dark path,
2 his left hand holding the cigaret lighter,
3~~2~~ the light flaming yellow white,
4~~2~~ dimly showing the damp, slippery, matted leaves.

8. 1 I slowed still more,
2 my shadow passing me,
3~~2~~ dragging its head through the weeds that hid the fence.

9. 1 The wind had helped us ever since we left the Azores,
2 pushing behind our backs,
2 whistling in the cowlings,
2 carrying us along in its stream as a boat is carried on its last stretch home,
3~~2~~ going "before the wind" with the sail full out,
3~~2~~ being wafted along on a great tide.

10. 1 I watched him pivot on his heels,
    2 swinging the cape a little ahead of him,
    3 the big cape billowing out in the air,
    3 the candle flames flickering.

11. 1 He turned quickly,
    2 bringing his right hand close to his hip,
    3 so that the cape wound high and flat like a disk around him.

Exercise 7

Each sentence here has a free noun cluster. Identify it by enclosing it within brackets. Be prepared to discuss in class what has been added to the noun headword. Q = Quality; D = Detail; C = Comparison

1. Her father had driven over from Pass Christian, [a Q withered Q old man D pushed by a Q tall, Q stiff, D red-headed nurse.]--Shirley Ann Grau

2. She could smell it now too, [the Q wonderful Q exciting smell of coming rain.]--Ibid.

3. The minister, [a Q pale, Q feeble-looking man with white D hair and blond chin-whiskers,] took his seat beside the small table and placed his Bible upon it.--Willa Cather

4. In the last block before Wildwood a little girl sat playing in the gutter, [a Q heavy child with D a long waterfall of yellow silk hair that poured out from under a solid blue beret.--Josephine Johnson

5. Mrs. Halloran's voice was going on in the hall, [a Q steady Q dry rattle C like old newspapers blowing on a park bench.]--K. A. Porter

6. The voices made a single, steady noise in the room, [a noise D without words, rising and falling but still steady, coming at a man like waves and washing up on him]--A. B. Guthrie (Action rather than descriptive)

7. There was a smell there, [a Q hot, Q sour smell Effect that made Boone wrinkle his nose.]--Ibid.

8. He saw the fire-light leaping in the window of the sitting-room, [a action leaping light in the little cluster of dark buildings.]--D. H. Lawrence

9. She turned at the door, [a Q black wraith D with Q yellowed, Q aqueous eyes.]--Wm. Styron

10. It blows cool out of the pines, [a Q sad Q steady sound.]--Wm. Faulkner

11. When he was not in school, the manageress was accompanied by her son, [a
Q D
large boy *with a malicious face that forever grinned under a sailor cap.*]
—Jean Stafford

12. He urged the gray up, but then the red plunged again, dragging Curt, and
Q
trumpeted wildly, [a shrill sound that flew back and forth between the rock
walls of the ravine.] —W. V. T. Clark

Q D
13. Then the other voice laughed too, [a lower sound, *full of soft, easy*
amusement.] —Ibid.

14. Well before noon he crossed the tiny stream, [now only a string of puddles
in the midst of cupping mud bottoms.] —W. Stegner

Exercise 8

Appeals to the senses of hearing, smell, and touch are much in evidence in these passages. Study the passages carefully to identify the words and the grammatical constructions that describe the impressions of these senses or merely suggest or imply them. Study the accompanying visual imagery too.

A

—M. E. Chase, *Windswept*

B

—Ernest Hemingway, *For Whom the Bells Tolls*

C

—Wallace Stegner, *The Big Rock Candy Mountain*

D

—Martha Gelhorn, *Liana*

⑥

A CURRICULUM FOR ENGLISH

Teacher Packet

RHETORIC:
INDUCTION AND THE WHOLE COMPOSITION

Grade 10

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Experimental Materials
Nebraska Curriculum Development Center

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Core Text: None

Supplementary Text: None

Objectives:

1. To introduce the rhetoric of the whole composition.
2. To identify, clarify, and simplify the problems students have in working with information or working up information.
3. To suggest ways and sources of finding something to say.
4. To suggest patterns of structure and strategy by which to say it.
5. To introduce some simple (oversimplified) principles of inductive logic.

Articulation:

This unit builds most directly on the 9th grade unit, Syntax and Rhetoric, and on the 9th grade unit, Uses of Language. Through them it builds on the 7th grade unit, The Dictionary, and the 8th grade unit, Words and Meanings. Knowing these earlier units will ease the students into this one and ease your problems in presenting this one, yet, the exercises in this unit do not assume a knowledge of the earlier units. This unit is completed by a subsequent 10th grade unit, The Rhetoric of Short Units, Parts A and B; together this and the subsequent 10th grade unit comprise an introduction to the three primary areas of the classical tradition of rhetoric--invention, disposition and expression, although they seek to teach contemporary writing practices, not traditional rhetorical formulas. These units anticipate the 11th grade rhetoric unit, which, like the present one, concerns itself with the logic and rhetoric of the whole composition, although the later unit focuses on inference, not on gathering or organizing "information." While no material beyond what is contained in the units is necessary, you may find one text helpful, E. P. J. Corbett, Classical Rhetoric for the Modern Student (New York: Oxford University Press, 1965).

Outline:

The unit is organized roughly in the manner of the essay, with an introduction (exercises 1-7), main section (exercises 8-20), and summary (exercises 20-24). The introduction seeks to get the student to identify rather clearly and completely and precisely what he is trying to do in this unit: he is not studying writing, he is studying a peculiar kind of writing. And, more narrowly, he can classify some of the main problems which arise in trying to learn that kind of writing, and consider the problems and their solutions by kind. The main section of the unit leads him to make that classification and to consider those problems and solutions. The final section of the unit asks him to review and summarize his observations by putting them into practice--by writing an essay.

I. BACKGROUND

A. Kinds of Writing

If the student has previously studied the tenth grade unit entitled "Uses of Language," he will find that the introductory exercises simply recall what the earlier unit showed him. If he hasn't studied that earlier unit he will find that these exercises show him something, that they open a wee small window on his own experience with language. It happens that when he is using language, no matter how inarticulate he is in class recitation, most of the time he doesn't get confused. When a coach tells him to shoot a basketball, he shoots a basketball; he doesn't cheer, promise, or strain to understand; he shoots. When the cheerleaders lead a cheer at a pep rally, he cheers; he doesn't shoot, promise, or strain to understand. When the coach asks him to agree to abide by training rules, he promises--he doesn't cheer, shoot, or strain to understand. When the coach, who is also the physics teacher, explains the application of the lever principle to shooting baskets, though, he strains to understand.

That is, in his experience with language, the student shows that for purposes of responding to language he knows that language is used to do many different jobs. He knows that in different situations he responds differently, that in different particular situations language gains its effectiveness from different sources, that if he doesn't obey, if he breaks his promise, if he fails to participate or to understand different sort of consequences--all undesirable--will trouble him. Finally, he fairly clearly learned to use language to do those jobs where language was being used to do those jobs.

In approaching a writing course, however, he and most other people tend to ignore such experience. He is likely to expect to be taught "writing," not how to do a job with language in writing, but "writing." He is likely to expect to be taught "writing" even in the absence of any of the factors which make a use of language effective. Finally, he is likely to expect to be taught not solutions to detailed problems which arise in particular situations, but general and abstract rules for using language--in "writing."

In short, in approaching a writing course, the student may well tend to ignore his experience with language. These exercises seek to remind him of his experience, and do so in order to suggest what is to be studied in this unit, why it is to be studied, and how it is to be studied.

Exercise 1: Contrast and Identification

The student finds four pairs of passages quoted from published writing. In the first pair, the writer is trying to get the audience to do something (question i), not just to understand, not just to join a group, not just to participate in an agreement--but to do something. Madison says that we want to support a republican government. Taylor wants us to make such choices now as we would make if they were our last. An appropriate response is either obedience or disobedience, and the expected and desired response is obedience; an appropriate verbal signal is "O.K."

In the second pair, though, one doesn't want to try to obey, nor to try to join a group or to participate in an agreement; one wants to try to see the author's point, to try to arrive at not simply sight, but insight. This is imaginative language, and although it seems to be presenting familiar experience, yet it presents the familiar in a new light. Trollope wants us to see a clergyman not through a pietistic haze of sentimentality, but directly, to see him as a man as susceptible to self love as other men. Swift want us to see a city shower not through the romantic haze but more frankly, to recognize the less attractive realities as well.

In the next pair, we are expected to arrive only at sight, simply to be clear. This is informative language. It is not trying to get us to join a group, to make an agreement, to arrive at imaginative insight, to obey--it simply wants us to know. Zinsser wants us to know about the black rat; Boswell wants us to know about a more noble sort. Our expected response is simply understanding, for which an appropriate verbal signal is "I see."

The last pair in this first exercise are instances of contracts or promises--the language of agreements. They say "I will if you will." An appropriate verbal response is "I will," and then one is expected to do whatever it is he promises to do. One is committed to this future behavior, as he is not by imaginative, expressive, or informative language, although he is similarly committed in a more immediate way by directive language.

There are many other jobs writing does--want lists in stores, advertising, love letters, parts manuals, jokes, nonsense verse, answers to quizzes, contest jingles, game rules, short story writing, the list could go on and on and on. The few examples which we have cited here are not meant to exhaust the list. The few categories used here (imaginative, expressive, informative, directive, contractive and cohesive) and in the ninth grade unit on "The Uses of Language" are not meant to include even most kinds of jobs. We deal with a few prominent kinds of jobs which take in a good many instances in the student's experience with language. And that's all. But even from these few, he should see that he does indeed use language quite differently in different situations for different purposes.

What problems might the writer have encountered in composing each of the eight passages looked at in (question iv). One might encounter many, many problems of course; Madison, for example, might have run out of goose quills. But there are peculiar problems upon which in this unit we want to focus the students' attention. Generally these are of three sorts, problems in what to say, problems in how to present it, and problems in how to polish it. One might label these problems more briefly as problems in discovery, in arrangement, and in revisision. One might do well to ignore the last two here and to focus only on the first, to direct the students to the problems in discovery. How might the writer have arrived at what he needed to know to write this passage?

The answer to this is almost endlessly complicated, if the students want to follow it out very rigorously. It might be best to begin negatively, simply to ask which writers would have to make sure that he had his facts straight. Neither Taylor nor Madison (to begin with the first two passages) are presenting facts. To some extent, Madison's direction depends upon not violating our experience. If we are to go along with him at the end, we have to agree midway through, "Well, it does seem likely that such would be in the case." And to agree to this is to guess at the future on the basis of our past. So in this sense what Madison says cannot violate facts. But neither Madison nor Taylor must verify any facts to write what they do.

Similarly, both Trollope and Swift (in the second pair of passages) have had to recall particular observations; and both Trollope and Swift have to make sure that their details are consistent one with the other. But neither Trollope and Swift are likely to feel that they have to go verify the accuracy of the details they include in their writing. Or rather, if they do, the process of verification is so different as to scarcely qualify as verification; his problems are not problems of verification in the usual sense; he would not have to measure Dr. Proudie if he wanted to tell you how tall he was. Trollope does not know the details of Dr. Proudie's installation ceremony, and he doesn't have to find out. He makes up or imagines what he wants to include, and he can make up or imagine whatever he wants to, but what he makes up must fit together and in general accord with our inner and outer experience.

Informative language, however, exemplified by the third set of passages in Exercise 1, requires verification in the simplest possible sense. To write informatively you must know something. You have to go somewhere to get your facts straight. Sometimes you can go outside and look, sometimes you can go to your microscope and look, and sometimes you can go to your friends and listen, or to your library and read. But somewhere you have to verify facts, you have to know something and to know that what you know is reliable.

In the last pair of passages, the legalistic contract language, there are again facts to be verified. The writer is committing himself and his firm or his government to a future course of action, and unless he has his contract numbers or building specifications correct, he may well commit himself himself or the agency he represents to more than he intends. But verification here is not a matter of double checking descriptions. His agreement may depend upon prior descriptions, and those must be verified, but the terms of agreements or promises are not descriptions.

In each case the handling of facts is quite different. The directive writer's problems are not those of the imaginative writer, the informative writer, or the contract writer.

Students in school (to pass now to question v) might use writing to do any one of the four kinds of jobs exemplified in Exercise 1. But a student should not expect to do or to learn to do all of them in a composition course (question vi). He might write promises, he might even write something that looks rather like a contract. But he is not likely to learn to do a good job of writing diplomatic notes for the State Department unless he gets a job with the State Department. He is not likely to learn to do a good job of writing even invitations for weekend guests unless he is in fact inviting someone and risks either inviting them when he doesn't want them or being turned down.

A student might attempt to get other students to vote in student government, to raise their standards of decorum, to resist the tyranny of teachers and administrators; in any case, they would be using language directively. They would be using it as Taylor and Madison use it. They might do it well, they might do it badly; from their success or failure, however, they have a means of improving: their language could have force, and the best place to learn to use language better to do the job of directing others is where that language is used, by using it. Thus to ask students to write sample directive language on assignment--to teach or to expect to be taught how to write ad copy in a composition writing class--is not very reasonable.

The student might well write a satire of one of his teachers, or of teachers or parents generally, and have it work; that is, he might find that other students and perhaps even his teachers do see something familiar in a new and fresh way. Since he studies this sort of language in school, since this kind of response is consistently part of the academic experience, he might well be asked to do this sort of writing in school. In fact, many of the composition assignments which the earlier units in this curriculum have asked of the students have been precisely of this sort--assignments in the imaginative use of the language, usually modeled after a passage studied in a literature unit.

Most of the writing which the students do in school, however, whether in English class or in any other class, most closely resembles using language to inform. There is a peculiarity about their use of this sort of language; usually they are not trying to inform. They are trying to show their teachers that they have their facts straight, but the teachers already know the facts. Yet the problems which the student faces in answering questions, writing out exercises, and doing term papers are problems most like those of someone who is concerned to inform, e.g., of Hans Zinnser in telling us about black rats or Boswell in telling us about the details of the life of Johnson. This is mostly what the student is called upon to do with language for the rest of his academic career. If his facts are wrong, he suffers for it. That is, there are fairly powerful forces which make it important for him to do this job well. In short, this is a real job he has to use writing to do, he is very much in the presence of the factors which make the effectiveness with which he does this job important, and he is experiencing concrete particular problems in trying to use the language for this job, problems which a course in composition might clarify. This unit does just that, seeks to clarify the problems which one has in using language to inform.

Exercise 2: Contrast and Identification (Optional)

The considerations recalled in this exercise are largely familiar and obvious after Exercise 1; the situations represented are a bit more diverse, a bit less amenable to classifications according to kinds of use, and thus do suggest, rather more strongly than did the quotations in Exercise 1, how diverse are the jobs for which we use language. But, principally, the exercise seeks to underline these points: that to do different jobs with language one encounters different problems, and different solutions, that the jobs, their problems, and their solutions can best be learned where they must be done, that some jobs more frequently need to be done in the classroom situations than others, and they can best be learned there and that informing is one of these jobs. For these reasons, this unit explores the problems of using language to inform. Since this exercise is repetitive, you may well wish to omit it.

Exercise 3: Uses of Facts

We ask the students to think of the instances of informative language at which we look in terms of three more particular classes. These are sub-classes according to the use to be made of the information. Of all of the instances at which we look, that is, the student might sensibly say, "Oh, yes. He's telling me something! I see now." But we want the student to go on to say, "But why is he telling me that?" There are many many possible answers to this question, as many as there are particular instances in which you might ask the question. To reduce such diversity we ask the student to think of three uses of informative language as primary: ordering facts for clarity, ordering facts to make decisions, and ordering facts to make judgments. These classes are suggested in the first part of this exercise. Perhaps simpler examples than those in the exercises will be needed, examples such as these:

(a) Facts ordered for clarity: "The snow is very deep in the driveway and behind the trees, but that comes from drifting snow. The total precipitation is only about 2.5 inches."
(b) Facts ordered for judgment making: "Since you had no experience in driving in snow and the snow was so deep, you were foolish to keep on going even if you did make it."
(c) Facts ordered for decision making: "You have to come a long way and the snow is very deep all the way; you do as you wish, you don't have to come home this week, you can come see us another time."

These are models, but they are only models. That is, such examples in their simplicity reflect more clearly the criteria the student should use in attempting to classify kinds of informative language. But the patterns of these criteria will change considerably from instance to instance, so that the models cannot be successfully applied if they are applied very strictly. For example, information to lead to decision making may or may not urge a particular decision and if it does it may do it more or less overtly; thus this class of uses of facts may bleed into the class "directive language," on the one hand, and into the class, "facts ordered for clarity," on the other hand.

Similarly, the language alone, apart from the situation in which it appears, is not usually classifiable. For example, a college calendar alone does not fit any one of these three patterns:

1962-63 Calendar

Sept. 10, 11, 12, - Mon., Tues., Wed., . . . Late student pre-registration tests.
Sept. 12, 13, 14 - 8:00-11:30 A.M., 1:00-4:00 P.M. . . . General Registration.
Sept. 17 - Mon. . . . Late fees for undergraduate students begin.
Sept. 24 - Mon. . . . Late fees for graduate students begin.
Sept. 29 - Sat. noon . . . Final day on which registration and payment of fees will be accepted.

This calendar per se is none of these three uses. Rather its use depends upon its context. Now let's say that it's June 1962, that a student wonders when he should go over (down, up) to the university, and you give him a copy of the calendar. Now change the situation, it is still 1962, but late September now; say the student is wondering if the university administration was right or wrong in charging him a late fee at registration. Again you give him the calendar. Now change the situation again; this time it's August, the student is nervous at the approach of college, which looms cloudily for him, a vague blur of unspecified activities. And again you give him the calendar.

In each case the informative language is the same, even in its form, and yet in each case the informative language must be considered to be of a different kind, for in each case it is used differently. In the first case it is informative language for the purpose of making a decision; in the second case you inform the student to enable him to arrive at a judgment; in the last case you inform the student simply to enable him to attain some sort of clarity in his understanding of this part of his experience. The same information in the same form, yet three different uses. But that's not contrary to our general experience: is a glass a water glass? lemonade glass? or fruit juice glass? The answer often depends upon how the glass is being used at the moment.

Finally, the language may be used informatively and yet not work as in any one of these situations; for example, a term paper written for a teacher who knows more about the topic than the student does. The paper may enable the teacher to arrive at a judgment about the student, but the information is not supplied (in most cases at least) to enable the teacher to arrive at a judgment about the subject of the paper, or to arrive at a decision, or to arrive at a clear understanding. It is to complete a requirement and demonstrate proficiency. Thus simple model passages may be helpful, but they should not be used so as to be restrictive. After all, in fact the instances are subtle and complex, highly dependent upon context, and far more various than our three classes suggest.

Yet we are using three classes--in which facts are used (a) for clarity, (b) for judgment, (c) for decision. In part a of this exercise there are three sets of statements, numbered i, ii, and iii; each set includes three statements, a, b, and c. The exercise might be more obvious if you rephrase it to ask what each statement apparently does--judge,clarify, or decide; then the students should see fairly quickly that 3 clarify (ia, iib, iiic), 3 decide (ic, iic, iiib), and 3 judge (ib, iia, iiia). If the exercise is still puzzling, you might ask the students which three statements express judgments, which three express decisions to do something, and which three simply describe.

If part a is well done, part b should be rather more easy: i (plan), ii (judge), iii (inform), iv (judge), v (inform), vi (judge), vii (inform), vii (plan). Part c however, might be a bit more troublesome. The point--that fact, judgment, planning is a logical sequence--is clarified by the later parts of the exercise. This exercise should encourage the student to draw upon his own extensive logical experience to determine which sequence is "more logical." He will have to make this decision before he determines analytically "why" or, rather, what "more logical" means here.

Parts d and h are largely self explanatory; yet, you might use parts d and e to point out that one can consider use in terms of a single sentence or in terms of a whole utterance. While any one of the statements in Exercise 1 can in isolation be put in one of the three classes of uses, if one classifies the three groups of statements in Exercise 1, one would have to say the facts were used for planning.

What problems arise in connection with each of these three uses of informative language? Are the problems of each use alike or unlike? To some extent, of course, they are different. In presenting facts to lead to a decision or a course of action, one may bias the presentation to favor a decision which he himself favors, or he may so strongly urge the decision that he leads the reader to question the facts upon which the decision is urged. Thus there arise peculiar problems in expression, in the control of the emotional resonance of words and of syntactic choices.

Similarly one must control the sequence of one's ideas in order to modulate the effect they give--objectivity, compelling need, inescapable conclusion, etc. Facts ordered to lead to a judgment raise similar problems, though facts ordered simply for clarity are far less likely to raise this sort of problem. Yet in all three uses of informative language, one is likely to have trouble being accurate, clear and precise. The overriding need for accuracy is a problem in discovery, in arrangement, and in diction.

Exercise 4: Kinds of Informative Writing

The students need to be encouraged to apply the first of the three questions to all passages before they apply the second, and to apply the second before the third, as this comment does. Of the passages in group a, while all urge the adoption of a policy, it is not clearly the case that the first passage is in any way informative. Similarly in group b, the passages all seek to urge a judgment, although the last of them does not clearly provide information; and, in the third group, all of the passages simply provide the information.

Now the writer's problems fairly clearly are not likely to be identical in each kind of writing. The most obvious difference is that only-to-inform the writer must simply have his facts straight and use language clearly, precisely, and objectively: he in a sense must keep emotions out of his writing. To urge a judgment or a course of action may often require the writer to be persuasive, to consider the bias of the audience more carefully, and to draw upon emotional resonances in his choice of words, of the order of his facts, and of syntax. One might get at this distinction by asking the students to look at the frequencey of questions and slanted language, to look at how the writer might have learned (or arrived at) the ideas he expresses: did he observe what he describes? or did he derive it by reflecting more generally upon his experience? How would one come to say "That's wrong!"? By finding contrary facts? By seeing or feeling that some other religions or moral principles applied?

These ideas are more fully developed as the exercises go on, and a rather general and hazy notion of kinds of problems is all this exercise seeks to establish.

Exercise 5: Kinds of Informative Writing Reexamined

The main point here is one suggested in the first exercise, that the concept of use is a relative one as we are applying it: the use of an utterance is relative to the context you consider: a sentence may be said to inform, while the paragraph in which it occurs may be said to judge. It does it in considerable more detail, however, and thus with a good deal more complexity.

This leads to a second point the exercise can make: that our three classes of uses of facts are pretty rough classes. Thus the classifications in this exercise should not be very rigid. You may find sentences which do not use facts at all: you may find sentences part of which are judgments, part of which are decisions. In any case, stretch the classification system, rather than blacking out the complexity of the use of the sentence or whole utterance.

B. Kinds of Problems in Writing

Exercise 6: Kinds of Writing Problems

Here the student should focus upon kinds of writing problems--getting something to say, choosing an appropriate way of saying it, and saying it skillfully. All three are presented in the first question, only the first in the second, etc.

Exercise 7: Problems and Solutions

The main point here is to distinguish the different kinds of uses for authority, or the different sense of "authority" in connection with each kind of writing problem. We have often lumped them all together. Fairly clearly they need to be distinct. On any subject there are presumably authorities, men who have studied the subject with sufficient rigor to be reliable. If the information is verifiable, your own observation or the observation of other scholars will verify it, and one can go to men or books of sufficient standing in their area to find such corroboration.

The problem of arrangement is a different one, though. Arrangement is a matter of using language conventions, a problem like learning the order of words in the sentence or the appropriate places for using exclamations. Arrangement, thus, depends very much upon subject, audience, and purpose. An appropriate "model" may well be impossible to find. Convention of "arrangement" to some extent varies from language to language, culture to culture, and age to age--like any other conventions of language. An "authority" for such problems thus may be either someone who is a successful, mature, good contemporary (published) writer who uses the conventions, or someone who has examined and described these conventions. Thus if one has a question about how to arrange his matter, he can go to a published work with a similar context, audience, and purpose, or to scholarly work which describes such writing. The problem here is to be sure that the authority is appropriate--that he is exemplifying or describing the kind of writing for which the problem arises.

The third question in this exercise is analogous to the second. Problems of style can be solved by reference to authority as long as the authority (a) produces the kind of writing in which the problem arises or (b) has studied and described that kind. We have too long been put upon by "authorities" who repeated formulas which contradict the practice of successful writers. And the student should be encouraged to solve problems of style just as he resolved such problems on learning to speak--that is, by observing how the big boys do it, the pros. And he should also be encouraged to ignore the scholar who advises or prescribes uses contrary to the practice of professional writers. But he must also be taught to identify rather narrowly the kind of writing he is concerned with: knowing the practices of successful sports writers has little to do with writing a good history paper.

II. BODY

A. Invention: Finding Something to Say

Exercise 8: Invention for Getting the Facts Straight

The logical nature of the question presented, that is, the sort of traditional problem in logic implied by each question, is to be ignored for the moment. It is reflected, of course, in the way the questions are grouped, but this is to be picked up, identified, discussed in the next exercise. Here the focus is instead quite simply on going about answering the questions. In a sense the student is put again into the "Let's Pretend" situation. Let's Pretend, he is told, that you want to teach someone about (to take the first set of questions as an example) about floating objects. What information would you need? How would you get it? What would you do if some one should say of your information, "That's wrong"? Such are the questions upon which the students should focus. The students should not be concerned here with arriving at right answers to the questions asked. Whether they know what makes an object float or not is irrelevant. They are concerned instead with how they get the answer, that is, with what kind of question they have.

The questions concerning floating objects (1) at some point depend upon observation for their answer. The simplest set of answers will come from the student who proposes to do his own observing immediately. He can propose to put objects in engine oil, to take out those which float and put them on in one pile, to take out those which don't float and put them in another pile. The quality possessed by those objects which float--this may give the students some problem. They are likely to want to use the jargon of physics: "buoyancy," "density," "specific gravity." But again there is a simple answer: "they float in engine oil." The student who wants to talk about buoyancy is simply rephrasing the sentence "They float in engine oil." The student who wants to talk about specific gravity wants to talk about why the floaters float, and that's another question, even another kind of question.

The questions concerning vertebrate animals (2) present slightly more difficult problems, since the student is less likely to be able to depend upon observation and he must work with more than just two qualities. He probably cannot observe the different animals himself; instead, he probably must depend at least for a good share of his information upon the observations and descriptions others have made of vertebrates. Further, where the classifications in (1) depended upon whether or not the object floats, here the classifications depend upon whether or not an object possesses perhaps a group of two or more characteristics.

The questions concerning classes of English words (3) have in mind form classes or the traditional classes of noun, verb, etc. Again the basis of classification is not a single feature, but a set of features--inflections, permanent forms, positions, etc. Here the student might turn to grammar books to see what classes are used, what words appear in the classes, and what the qualities of these words are. One interesting feature of this problem is that in the past there has sometimes been a wide difference between the real and the professed bases of classification. The professed basis of classification of nouns, for example, has been that they named a person, place, or thing, but in effect the real basis has been formal qualities of the sort the student can observe. Similarly one might profess to classify utterances as sentences or fragments (as independent or dependent sentences) according to whether or not they express a complete thought. But the students can readily discern that the difference in the sentences so classified is a matter of form, not of thought.

With this third group of questions, you may wish to introduce a further complication. The members of any one of these classes are not all alike. Consider the verbs "may," and the verb "be" and the verb "consider." No single set of characteristics is common to all three forms, and, further, no single characteristic is either. That is, the members of these classes are grouped according to family resemblances, not according to identical features, but according to analogous features.

In the first three sets of questions, the student examined the bases of classification used by other people. In the fourth set of questions, the questions concerning, "Mary," "marry," and "merry" the student is asked to do his own classifying. He is likely to wonder just what he is supposed to work with; is he supposed to classify people? words? pronunciations? You might recall for them that customs inspectors often use pronunciations to guess which side of the border transients live on. Does the migrant say "greazy" or "greasy"? "Greazy"? That's north of the border. "Houses"? or "Hooses"? That's north of the border too. "Prōgress"? or "Prŏgress"? That's north of the border, too. This fellow probably comes from north of the border. Fairly clearly the customs men are classifying people. And this is probably the easiest for the students to work with. If given the merry-Mary-marry problem in a writing assignment, the student would have to anticipate that one might arrive at five classes of people: those who pronounce each word differently, those who pronounce all three alike, and those who pronounce "merry and "Mary" (but not "marry") alike, or "marry" and "merry" (but not "Mary"), or "Mary" and "marry" (but not "merry") alike. One might go on to establish correlations between economic, social, educational, religious, or geographical backgrounds and pronunciations, but that's not necessary here. Here the student need only observe and record the frequency of different pronunciations of three words. As in the first set of questions, in this set the student could do his own observing. But he would have to consider these questions: how many speakers would I have to observe? Under what conditions? What factors tend to distort your pronunciations? How would an observer avoid these? Where have I noticed that there are different pronunciations in the past? How can I make sure that this time I will not omit just those people who would supply different pronunciations?

Here again, although it may not be apparent, the student is working with family resemblances, for a phonetician would identify differences not only between each person's form of the "same" pronunciations, but even between each pronunciation of the same word by the same person.

In Groub b, the sets of questions are more commonplace than in Group a, more likely to ask them to do what they have done and less likely to appear to involve learned or academic exercises. All of these sets of questions involve putting together different bits and pieces, assembling and relating unlike facts, something the students do and see done often, both in and out of the classroom.

The questions concerning Kennedy's assassination differ in one way from those concerning the Halloween prank and those concerning the who-done-it. Here the student is asked to recall the clues which investigators of Kennedy's murder did uncover and publish. You might wish here to make the further point that evidence which in itself is not at all compelling in context can become very compelling, indeed, that in this sort of problem it is the fit of the pieces which makes them compelling.

With the next set of questions, those concerning Beowulf, the student would in effect be asked to look at some different qualities of a poem--at images, characters, events, patterns of action, uses of words, or phrases, at statements or speeches, etc.--and to generalize that some of them are such as might be written by a Christian poet.

The last set of questions in this group will perhaps be the easiest, since it asks the student to look at something which probably he does often--sizing up a person by his appearance,--his dialect, dress, gestures, etc. An interesting twist on this question occurs if you stipulate that the context is drama or fiction rather than life. Here the writer often asks us to depend quite heavily on the outward signals, although often the writer plays the outward signals against the character's thoughts or actions, as Shakespeare does in presenting Cordelia in King Lear.

One might think of problems like these in terms of a mosaic, one made of many tiny pieces of different shapes and sizes. That is, the similarities in the problems presented by each set of questions in this group make them all like mosaics. The questions always look for facts--for bits and pieces. The questions look for bits and pieces of different shapes and colors--for a phrase here, a name there, an image or a symbol over here, an idea over there (for the Beowulf problem), or for an eye witness report here, a projected trajectory, a murder weapon, a corpse (a murder case) etc. And finally, the questions seek to put the facts together to make a whole picture. In short, these problems are those often termed hypotheses.

In Group c, the group of questions more immediately and obviously suggest a pattern of ideas, the pattern of comparison or analogy, and this pattern still more immediately and obviously serves as a means of invention, of generating things one can say about a subject. These questions individually are not likely to trouble the students, while the questions can be used to suggest several points. First, while the questions in the preceding group depend upon observation or recollection of observation for their answers, the questions in this group depend a good deal upon reflection. Second, although one often in effect seems to be dragging the answers out of himself, as it were, yet clearly even here saying is a way of seeing, writing to develop an analogy is a way of discovering things about your subject. And still more generally writing often is a process of discovery, not simply a process of dredging up and ordering. One might make still another point: very often developing an analogy or two or three enables one to see that whether he recognized it before or not, he was previously using an analogy to think of the subject; for example, former Secretary of the Treasury George Humphrey was once asked at a Congressional hearing, "Do you believe in deficit spending?" And he answered, "No, no, I don't think you can spend yourself rich!" Whether one does or does not advocate deficit spending, he can see that Secretary Humphrey is thinking of the national economy in terms of an individual's economy or even perhaps in terms of a reservoir or stockpile of materials or water or something of that sort. If Secretary Humphrey was not aware of using an analogy here, he might well have been led to confused or misleading assumptions by becoming aware of different analogies they might use in thinking about their subject. Finally, concerning this group of questions you can also make the point that the students should consider rather carefully the points of difference in the subjects compared, as well as the points of similarity. A very useful and sometimes enjoyable exercise is to ask the class to suggest a list of comparisons on a given subject, including even some nonsense comparisons, and when six to ten comparisons are listed, to ask the class to suggest ways in which the comparisons are illuminating: How is language like a cold in the nose? It's part of everyone's experience, and makes us all drippy at times.

The questions in Group d combine those of earlier groups. The questions do depend upon observation for their answers, but they also depend upon reflection. In effect the questions consistently take the form how many x are also y. Thus one must make two kinds of observations or observations leading to two generalizations or class statements, and then one must relate these generalizations. These people all have brown eyes; these people all had brown-eyed children; brown-eyed people have brown-eyed children.

The last group of questions, Group e, is like the third group in asking the student to make a comparison, but where the analogies of the third group asked the student to compare essentially dissimilar things, the comparisons of this group ask the student to compare essentially similar things.

Exercise 8 has presented the student with five kinds of questions, then, in terms of which he can approach subjects about which he wants to think or write. For convenience one might characterize these kinds of questions in terms of the answers they yield--generalizations, hypotheses, analogies, correlations, and comparisons. Not all are equally appropriate to every subject, nor will any one be consistently used in only a single way: the generalization may one time be an aside in a subordinate clause and another time the substance of a paragraph or section of the essay.

But for the students one might better forego these labels, at least for a while, unless the students themselves present them and suggest them. Exercises 9 and 10 present analogous series of questions, and one function of those exercises is to accustom the student to recognize what kind of subject he's dealing with, and make this recognition not in terms of an abstraction or label, but rather in terms of what satisfactory answers will look like and what he must do to arrive at satisfactory answers.

Exercise 9: Invention For Urging a Judgment

In approaching the five groups of questions in this exercise one can anticipate first that the questions here will be a bit more complex than those in exercise 8, and second, that the questions will be easily confused with those in exercise 10. In exercise 8 the questions asked only that we get the facts straight; here the questions ask not only that we get the facts straight but also that we pass judgment on them. Similarly, in exercise 10 the student is asked both to get his facts straight and to do something else besides, i.e., to determine what action should be taken. For each set of questions in exercise 9 you might well lead the student to ask first "What are the facts?" And second, to ask either, "So was (were)it (they) right or wrong (good or bad, sturdy or flimsy, beautiful or ugly, etc.) ?

Group a:

Getting the facts, obviously, depends upon looking at many, many dictionaries to see if they include slang or profanity; the students will have to define "dictionary," do they intend desk dictionaries? school? business? pocket? unabridged? foreign language? cross word puzzle? rhyming? Did all leave out slang and profanity? or some? or most? or a few? or many? or none? And then they are ready to consider the judgment. If after looking and counting they determined that all desk dictionaries before 1941 omitted slang and profanity, they can then determine either that the dictionaries were damaged or that they were improved by the omission. If damaged, why? If improved why? As you go through the sets in this and subsequent groups the student should begin to see a pattern emerge. It should approximate this model:

Facts
Judgment
Why-Explanation (Standard)

When asked to justify their judgment, they will usually answer by referring to a standard or goal: including slang makes a dictionary a more complete and accurate record of the language and a good dictionary is one which is a complete and accurate record of the language.

Similarly in the second set of questions: (1) The facts are either that the car manufacturers did seek passenger safety or that they did not. If they did, and the companies did not show a profit (and the question, let us say, is raised at a meeting of the President's council on economic planning where it has just become obvious that a major economic slump has been precipitated by the economic doldrums of the car industry) the manfacturers might be judged to have been wrong, or to have shown bad judgment or to have wrongly based therir action of humanitarian motives instead of on profit motives.

Again, as the students discuss these possibilities, you can begin to suggest another point, although one might do well to let the students derive it inductively later in this exercise rather than to state it for them. That is, that there may be more than one standard which bears upon an issue: a business man may feel that he has a responsibility to be humanitarian and a responsibility to be effective as a unit in the economic system: there may be a point where both standards are satisfied (the point where he is making a profit but still making cars safe enough so that they are not killing off all his clientele). It may also happen that the standards will be given different weight, however, by different people, so that equally intelligent people equally possessed of the facts arrive at different judgments.

Two points then: the judgment is in terms of a standard; the standard may in fact be two or more conflicting or complementary standards, not all of which will appeal equally to all people. And one might lead to a third general point as well: the utility of discovering these standards as part of the process of invention or discovery. It is useful for the writer to be aware of not only what standards are moving him to judge as he does, but also what other standards might bear on the same issue in the eyes of audience. As always, the process of invention here usefully gives him more information to draw upon, lets him know his subject better, and thus greatly simplifies the problem of writing; but even more, discovering the several different relevant issues also enables him to define or visualize his audience and to select and choose a stance appropriate to it.

The first two sets of questions in Group a are fairly clear cut, but the third introduces some special problems: it focuses not on an answer, but on a method: could one gather evidence to show that dialects are spoken only by ignorant people? The point here is that, in phrasing the question to get the facts, one might prejudge the facts. What sources would one go to to determine whether dialect speech was spoken only by ignorant people? only to ignorant people? Obviously not (at least it is obvious, when the question of the biased sample is so clearly and baldly stated). Normally, however, it isn't, and often it is very subtly concealed in the phrasing of the question.

Thus in the fourth set of questions in Group a, the term "hand made" may seem automatically to judge the furniture affirmatively, assuming that the facts are that 18th century American furniture was hand made. But it is likely that most of the instances of 18th century furniture which are still around are around because they were well enough made to last, and the 18th century badly made handmade furniture--didn't last.

The fifth set of questions introduces still another problem, that of technical competence. Whether or not a tonsillectomy is justified is a problem that few people other than a relatively few medical doctors are competent to determine. To get the facts in such a case clearly depends upon going to an authority, but getting the judgment also may depend upon going to an authority, and if conflicting judgments are obtained, the problem is a problem of choosing between authorities rather than between judgments or standards. It may also be the case, however, that one has an overriding standard; for example, one might believe that no operation is ever justified, or that no medical treatment of the body is ever to be permitted. In such a case, no amount of technical knowledge of the nature of tonsils or of tonsillectomies is relevant.

In retrospect, the students should easily discern that in each set of questions in Group a, getting the facts straight involved observing a class of things--books, people or whatever, and then saying something about the class. It is this similarity which accounts for the sets of questions being grouped together.

Group b:

Similarly, when the students finish discussing Group b, they should see that getting the facts straight here involves adding up several bits and pieces about a single instance--and then arriving at a judgment, again in terms of a standard. These questions have been abbreviated somewhat, and you may need to prompt some of the students to get them to rephrase these questions so that they fit the model: facts, judgment, standard. The first question in the set "Was Caesar Borgia a good man?" for example, seems to skip right over getting the facts: what did he do? what were his purposes? what effects did he have--these fact-finding questions have to be raised before one can begin with the question given. Having obtained the facts, one must be clear about the standard: is a good man here one who effectively discharges a political (or moral or religious) role? And then they can arrive at the judgment.

Questions 2 and 3 and Groub b are interesting in that they present parallel situations which conventionally are judged quite differently: normally historians say Eisenhower should have stayed on, Wilson should not have stayed on. If one were to argue from principle alone--e.g., all necessary provisions for government are in the Constitution, and the Constitution does not provide for the President's disability, or,through the majority vote in a democracy the Will of God is expressed, and the Will of God was that Wilson should be President, so it would have been impious and wrong for him to have resigned.--if one were to argue from such abstractions alone, the two cases might well lead to identical judgments, but if one digs up the facts of the case (the amount of impairment; the duration of incapacity; the provisions for discharging the duties of the office; the effect upon political bodies, decisions, legislation, the economy, foreign relations, etc.) different facts begin to emerge. Thus one can then judge both situations by the same standard, and arrive at different judgments.

Similarly sets 4 and 5 in Group b again offer parallel situations in which conventionally quite different judgments are commonly made. Conventionally one says that Harding was a mediocre president, Kennedy was a martyr president. Both, however, had relatively short terms; both had their terms terminated by death. Again, digging out the facts will probably enable one to apply the same standard to both situations and to arrive at quite different judgments. It will be useful here to refocus these questions on method, to ask the students how they would go about showing that Kennedy was a dangerous president and Harding a saintly president. In questions of this sort, gathering the facts almost inevitably means selecting facts, and the ease of selecting the facts to support the judgment you want to make is very great indeed: by asking the students to consider how they would gather evidence for the unconventional positions one might suggest to them how easily the conventional positions might result from a prejudiced selection of the facts, from the failure to distinguish the fact finding questions from the fact judging question. Thus the utility of the model: Fact-Standard-Judgment.

Group c:

The sets of questions in this group, clearly, all involve a particular kind of fact finding, and also all involve making a judgment. The particular kind of fact finding they involve--that of analogy or seeing similarities between essentially dissimilar things--may not immediately seem to the students to be related to the process of invention. One might do well to consider for the class how it is that each set of questions might arise. What subject would someone be writing on who raised the first set of questions? dogs? pigeons? men? Presumably the writer is inquiring about or expounding upon the relationship of man to his environment. In order to generate things to say he has asked "What do I know about which this may be like?" And he has answered, "Perhaps like the way another animal or a bird, say a dog or a pigeon, adjusts to its environment."

A second problem may arise from the obscurity of the judgment in this first set of questions: how does it lead to a judgment? The situation will be clarified somewhat if you rephrase the question as "How does the comparison make a judgment?" for often the judgment is concelaed in the terms of the comparison. Thus comparison to things of a lower order, to things less valuable, more simple, less revered--such a comparison judges as the terms of the comparison are spelled out. In this case the means of developing information often determines the judgment at the same time. Comparing a man to a dog is usually not to praise the man; comparing "using language" to "jumping through a hoop" usually is to disparge language; comparing Kennedy to Lincoln is to praise Kennedy, etc. But notice that comparing Lincoln to Caesar (particularly if one came from a fine old Southern slave holding family ruined by Lincoln's invasion, and one thought of Caesar as a usurping tyrant) might be a way of disparaging Lincoln. One can also readily imagine a situation in which comparing Lincoln to Caesar would be to praise Lincoln.

The main points here are that analogies are useful for discovering information on a subject upon which you must or want to urge a judgment, but they often build judgments into the facts they develop. While the analogy may not be a reliable way to determine or to arrive at the judgment, it may be a very effective way indeed to present the judgment to the reader.

Group d:

Again, these sets of questions are grouped together because both involve in their fact finding a cause-and-effect generalization and both also involve, beyond that, a judgment. The fact finding involves (a) a particular instance upon which one gathers bits and pieces to determine cause and effect, (b) another similar instance and another and another, etc., until one generalizes about the cause and effect relationship in such instances. In examining the first situation you may have to prompt the students to make certain that they do not oversimplify; gathering the facts in these situations would be enormously difficult because of the vagueness of the terms of the questions. What constitutes "watching"? Seeing every day, and hours, glancing occasionally? Seeing nothing else? What is a sense of values? how is it corrupted? One may also need to warn the students against hidden bias: how might one determine which kids often watched violence? The parents would be absolutely unreliable as a guide. If one got a satisfactory sample, however, the bias may still be built in: perhaps the kids were corrupted by the same factors which caused them to spend so much time watching television--parental neglect, parental smothering, educational frustration, or home environment.

Similarly, students who study prescriptive grammar may use a simpler vocabulary and simpler sentences because teachers who choose prescriptive grammar also choose texts with simpler vocabulary and simpler sentences, or because the teachers who have learned the new grammar also tend to have learned more effective ways of teaching composition. The causal relationships here could get very complex indeed.

After the fact finding, itself thorny enough, comes the judging. The judgment fairly obviously is built into the phrasing of the first question. Anyone who understands the language and who assumes conventional usage would agree that to corrupt one's sense of values is bad, the generally accepted standard being that one should have an uncorrupted sense of values (whatever that may mean). The judgment is not so obvious in the second question, still less is the standard. You might need to clarify the question? Is it good or bad to use only a simple vocabulary? only a simple sentence structure? The answer will depend, of course, upon the context in which the language is being used. In some contexts, perhaps, the exclusive use of a simple vocabulary and simple sentences would not be an impediment. But in most contexts the student needs to be able to vary the complexity of both his vocabulary and his sentence structure to achieve maximum effectiveness. How does one determine effectiveness? Does the language work? Is it like that which does work?

Group e:

In the last group of questions, the fact-finding involves spelling out the similarities and differences between essentially similar things, and the judgment again involves the application of a standard. This is a particularly useful question for the study of literature since one can so often discover by comparison and contrast the precise quality of a rhythm, image, theme, or characterization when he would be completely unable to do so by overt description.

The judgment here is both difficult and rewarding to work on. The difficulty comes in the intangibility of the standards; the reward comes in the opportunity to review a bit of a previous unit and to eliminate phony values responses in relation to literature. The "Uses of Language" unit suggested that imaginative language, of which an epic would be an instance, usually seeks to get you to see something new or to see something in a new way. Some students may be tempted to say that the epic is good per se, like saying that Hamlet is good because it's Shakespeare's. But such a response not only is not a genuine response; it even rules out a genuine response to whatever may be of value in the literature. If, on the contrary, the student seeks to arrive at his judgment by asking different "fact" questions—"Does this show me something new? or something in a new way? What insight does it give me?"—he will be in a more secure position from which to arrive at a judgment. Having recalled the insights each work leads one to, he can suggest which insights are most illuminating or most useful, and thus he can judge.

Exercise 10: Invention for Urging a Policy:

These questions should present little that is unexpected or baffling to the students. Again they will find sample questions arranged in groups; again, by talking through the questions, they should arrive at some sense of what kind of information is needed to treat certain kinds of problems adequately; and they should also arrive at some sense of what questions, given a topic to write on, one might bring to bear to develop information on the topic; finally, here again the questions can be viewed conveniently as having essentially two parts—fact-finding and policy-urging.

The fact-finding questions again are those which would be answered by generalizations (group a), hypotheses (group b), analogies (group c), correlations (group d), and statements of similarities and differences (group e). This patterning is best left for the students to discover; and the groups need not be given these labels until after the students have discerned their patterning. Again, all of the fact finding questions are means of developing ideas on a subject,—i.e., both of giving the student more facts, more to say, and of enabling him to see more, to have a better understanding of his subject.

Beyond the fact-finding in each instance, one must urge a policy, and again one does this in terms of a standard or goal or purpose. Since the problems and possibilities in this exercise are so like those in the two preceding exercises, your manual discusses only one of the sets of questions which this exercise asks the student to talk through, the first.

The first involves a good many facts in its fact-finding--generalizations about causes or combinations of causes and generalizations about the effectiveness of various antidotes, preventatives, and treatments. The policy determination, in this stance though, may seem to be really quite simple: it will be generally accepted that typhoid should be prevented. It will be generally accepted that the government--city, county, state or nation--should assume responsibility for preventing it. The question then seems quite simply to be this: which governmental agency and which approach will most effectively control the typhoid? But you might also raise the possibility that the typhoid should not be prevented (let us say for religious reasons) or that it should even be encouraged (for example, in an over populated area, as a matter of policy a government might choose to redress its ecological balance by the controlled infliction of typhoid). What is involved in these possibilities? A change of standard or goal; normally one assumes that it is important for a government to keep the population disease free; but this assumption might shift as assumptions about fertility have shifted.

B. Logic: Being Clear About What You Need To Know

Exercise 11: Distinguishing, Proving, and Showing

Exercise 11 should be pretty much self-explanatory. Students should get clear about the differences between analogies or evidence used to "prove" and examples, analogics, etc., used to clarify. (They may, in their own writing, think that they have proof of their point when they only have used a device to clarify the point.) Students might consider how the point clarified in Ia was first proved. A close examination of the movement between presenting "reasons" and clarifying and arguing in the various passages should assist students and teachers in seeing the speciousness of the pat distinctions between exposition (which is supposed to involve clarifying) and argument (which is supposed to involve proving and persuading).

Students should watch such indicators as "because," "therefore," "thus," "since," "yet," "however," "thereby," etc., carefully. Some of them require "inductive evidence," some do not; some require very detailed "scientific" evidence; some require rough common sense observation. The indicators may function logically in very different ways in different contexts:

(1) You go because I tell you.
(2) Iron sinks because it has a higher specific gravity than water.
(3) The Commissioners kept the remarks separate because they are cowards.

Notice the different uses these remarks have and the different way in which "matters of fact" or observations enter into our being able to make the remark appropriately--with sufficient grounds for a because.

Students should also look carefully at these passages for leading or misleading analogies. Is modern education really like a vacuum, a religion, a tree; do the analogies in Lippmann function in a fashion like or different from Jean's analogy: "big-and-little waves are like different colors of light"? However, the main point of the exercise is to clarify the difference between "proving" and "clarifying" what is assumed already to have been proved.

Exercise 12: Uses of Comparisons

This exercise deals largely with analogies, their different uses, and their abuse as "evidence" in some situations. It is customary, in logic, to divide arguments into deductive and inductive arguments and to regard, as "inductive," the argument by analogy--a form of argument which looks like a metaphor or a clarifying analogy but which functions differently and can be misused in student and adult writing.

Thomas Reid, an eighteenth century Scottish philosopher, provides this classic example of an analogical argument (cf. Exercise 12, 7):

> We may observe a very great similitude between this earth which we inhabit, and the other planets, Saturn, Jupiter, Mars, Venus, and Mercury. They all revolve round the sun, as the earth does, although at different distances and in different periods. They borrow all their light from the sun, as the earth, and, by that means, must have a like succession of day and night. Some of them have moons, that serve to give them light in the absence of the sun, as our moon does to us. They are all, in their motions, subject to the same law of gravitation, as the earth is. From all this similitude, it is not unreasonable to think, that those planets may, like our earth, be the habitation of various order of living creatures. There is some probability in this conclusion from analogy.[1]

On examination it can be seen that Reid's example has this form:

> The Earth has characteristics R (revolves round the sun), B (borrows its light from the sun), A (revolves round its axis), M (has a moon) and S (is subject to laws of gravitation). Saturn, Jupiter, Mars, Venus, and Mercury have R, B, and S, and some of these planets have A and M.
>
> The earth has L (living creatures).
> Therefore there is some probability that Saturn, Jupiter, Mars, Venus, and Mercury have L.

---

[1] Thomas Reid, Essays on the Intellectual Powers of Man, Essay I, Chapter.

If we use S, Y, . . . to stand for the entities and C_1, C_2, . . . to stand for the common characteristics of these entities and use C for the characteristic mentioned in the conclusion, the analogy can be represented as follows:

(1) X has C_1, C_2, . . .

Y has C_1, C_2, . . .

X has C.

Therefore Y has C, or there is some probability that Y has C.

Two things are here being compared but not in order to show a figurative similiarity as in a metaphor or simile.* Moreover, they are not being compared in order to clarify what something "known" is like to some tiny Alice "who doesn't know." Reid compares in order to prove--to make a conclusion or, at least, to make an initial tentative guess about something previously unverified or even "unhypothesized about." In an analogical argument, the number of entities compared in the premises can vary and the number of characteristics can vary. Here, for example, are some variations:

X has C_1.

Y has C_1.

X has C

Therefore Y has C

X, Y and Z have C_1 and C_2

W has C_1 and C_2

X, Y and Z have C

Therefore W has C

Reid's argument, as we have said, is itself a variation of this form.

As we have mentioned, analogies may justifiably be used in non-argumentative ways, as part of figurative language or as part of the business of clarifying--in explanations for example. By the use of an analogy, things are made familiar to us or the attempt is made to make things familiar to us. Analogies are also used to illustrate points:

> Bosewell: "But Sir, does not affecting a warmth when you have no warmth, and appearing to be clearly of one opinion

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*Unlikes having a like emotional texture or moral or intellectual "significance."

> when you are in reality of another opinion, does not such dissimulation impair one's honesty? Is there not some danger that a lawyer may put on the same mask in common life, in the intercourse with his friends?" Johnson: "Why no, Sir. Everybody knows you are paid for affecting warmth for your client; and it is, therefore, properly no dissimulation: the moment you come from the bar you resume your usual behavior. Sir, a man will no more carry the artifice of the bar into the common intercourse of society than a man who is paid for tumbling upon his hands will continue to tumble upon his hands when he should walk on his feet."
>
> (Boswell's *Life of Johnson*)

The comparison made between the tumbler and the lawyer is not made in order to conclude something; rather, the comparison is made *to explain* why a lawyer's actions in court will not affect his behavior outside the court and *to make clear* why there is no danger that a lawyer will act in private life in the way he does in court. Not all analogies are clarifications; since some are used as "proofs," students should try to get clear about the separate character of the logical considerations which may properly be brought to bear on an analogy used to prove as opposed to one used to clarify.

As a general rule, analogies "used to prove" may be useful in forming hypotheses but only in forming them--not in verifying them. In science, analogy often is employed in constructing theories; Huygens developed his wave theory of light with the help of suggestions borrowed from the view of sound as a wave phenomenon; and the kinetic theory of gases is modeled on the behavior of an immense number of elastic particles whose motions conform to the established laws of mechanics. In each of these examples, analogy was employed in setting up the assumptions of the theory as well as in explaining the assumptions. In addition, the analogies suggest ways to extend the application of the theory. What are called models in physics--e.g. the old model of the atom as a tiny solar-system--result from the use of analogy to explain the nature and properties of the theoretical entities in physics.

Huygens' analogy worked as a scientific hypothesis; Reid's didn't. Why?

Analogies used to "prove" are commonly unsound but not always so. Analogies used to prove which are unsound are usually unsound because the reason given, the analogy offered, does not provide good grounds or proper evidence for affirming what is affirmed about the thing to which it is compared. It may give one "something to go on" in trying to reach a conclusion *but still not prove*. The following analogical arguments, which do not make very good sense, *should not* persuade students:

(1) It is both morally and financially dangerous for an individual to keep himself constantly in debt and continue to spend all the income he has. Thus the consistent borrowing and spending habits of recent federal administrations, with their unbalanced budgets, are equally to be condemned.

(2) Who should run the home? Those who say the couple should run it jointly are confused. Having two people make the decisions is like having two people cook supper at once. The result is a jumble that nobody with any sense would tolerate. The meal would be ruined. In a kitchen one person gives orders, the rest execute them. This is the way it ought to be in a home, too. Otherwise you'll have too many cooks.

(3) Jeopardy is the condition God meant us to be in. If you think He approves of federal interference to prevent depressions, think again! He didn't intend the sea to be calm all the time. When a ship sails and bad weather sets in, the captain is trusted, not blamed. We know there will be bad weather. So with the Ship of State, too. There must be depressions, just as there must be storms at sea. Don't fool with the Divine Plan!

All of these have the form pointed out above. In all three the similarities between the two things compared are not stated but presupposed. None of the premises provide good grounds or evidence for the conclusions, and all three are unsound. What accounts for the unsoundness? Consider the first example, where the U. S. government is compared with an individual. In economic matters, what is true for an individual is not always true for the government. Whereas it may be financially and morally dangerous for an individual to keep in debt and spend beyond his income, for a government, in some circumstances, debts and spending can be--so economists tell us--the path and the only path--to full employment, general prosperity, and adequate economic growth. A closer knowledge of the subject displays that the analogy fixes only on a superficial similitude. "Debt" means quite different things in the two sentences.

The second example which compares running the home with cooking a meal and concludes that, as it is true that one person ought to give orders in cooking a meal, so one person ought to give orders in running the home, is unsound. It is not always true that one person ought to give orders in the preparation of a meal--supposing that what ought to be done is whatever results in the best possible meal. Sometimes the giving of orders ought to be delegated to the person who has the most experience in preparing the dish being prepared, and this might mean, in some circumstances, that more than one person ought to give orders. Even if it were true that in all circumstances one person ought to give orders in preparing the meal, the argument would still be unsound. For cooking a meal is unlike running a home in a number of relevant ways--"relevant" in relation to the conclusion. The desirable home, the best possible home, may be one in which there is harmony, stability, and happiness, and this may require such cooperation between husband and wife in running the home as excludes one person's giving the orders etc., etc.

The last argument involves a comparison between the economic changes of our country and the weather, between the U. S. President and a captain of a ship (Exercise XII, 8). Several conclusions are drawn; for example, as there must be bad weather, so there must be depressions; and, as we don't blame the captain when bad weather sets in, so we should not blame the President if the nation suffers a depression. However, the weather, on the whole, cannot presently be controlled or even affected by human intervention; price levels, at least in large countries like the U. S., can be affected to a large degree by actions of the Federal Reserve Board affecting credit, etc. Since these rather obvious differences exist, the argument may be questioned. Consider the second conclusion: it cannot accurately be said that we do not blame the captain when a ship comes upon bad weather. Often we do blame him when there are ways to avoid the storm (e.g. changing course on hearing the weather prediction). If depressions can be avoided in our country, the President is blamable in the way in which a captain is blamable for the consequences if he sails into a storm which he could have avoided.

How does one inspect an analogy used to prove to see if it is all right. There is of course no easy rule but a few guidelines may alert our students to problems in such analogies. The above criticisms are of two kinds. To state them it will be helpful to recall the form of an analogical argument:

X has C_1, C_2. . .

Y has C_1, C_2. . .

X has C

Therefore Y has C.

The first kind of sensible criticism of analogical arguments, the one suggested in the above discussion of them, is to make a case for Y not having C, what someone has concluded that it has on the basis of the analogy. Such a case involves showing that the *differences* which exist X and Y are of such a nature that, though X has C, Y does *not* have C. The conclusion is false because, though the analogy may be persuasive, Y, upon inspection, simply doesn't have C. Whales may look like fish but they simply don't have gills. We will call this first kind of criticism of *what is concluded about the object studied*. The discussion of arguments (1), (2), and (3), denied the conclusion which came out of all three arguments. It was said in the last discussion, in connection with the conclusion, "There must be depressions [as there must be bad weather]," that depressions *can* in fact be prevented. Y does not have characteristic C which X does have. To make a case for this, it would be necessary to point out the differences between weather (X) and depressions (Y) which make one uncontrollable (C) while the other (concerning which the conclusion about uncontrollability was made) is actually controllable.

The second way to criticize an analogical argument is to make a case for X not having C. We can say that what is concluded about the "compared thing" (Y) is pretty shaky if what was concluded about "what it was compared with" (X) wasn't even so. Maybe even the weather isn't uncontrollable. We will call this way to criticize an analogical argument *denying the characteristic which appears in the conclusion about X*, the object compared with the object studied. Denying the X characteristic was done, for example, in criticizing the third analogical argument. If someone argues that the President is not to blame (C) for depressions because ship captains (X) are never to blame (C) for running into bad weather, one can squelch his argument by showing that captains are sometimes to blame for running into bad weather. With the first analogy, this kind of criticism was also made. It was argued that it is not true that in preparing a meal (X) one cook should always give orders (C).

There is a third way to criticize an analogical argument. One can argue that either X or Y, or both, do not have C_1, C_2. . . . This method of criticism will be called denying the shared characteristics which form the basis for the conclusion. This method of criticism was not used in the above discussions since the shared characteristics were not asserted but rather were presupposed. Generally the most effective way to criticize an analogical argument is the first of the two described above.

A typical kind of analogical argument which is commonly considered sensible is this (Exercise 12, no. 6):

> The porpoise does not have gills, cold blood, and scales as fish do, but has lungs, warm blood, and hair like man. Since man has a four-chambered heart, we can say with reasonable confidence that a porpoise has a four-chambered heart.

What makes us see that this is a sensible inference--or, at least, a sensible initial hypothesis--is our general knowledge that the above characteristics have been found to go together in all animals so far examined, and our general knowledge that there are certain physiological connections between these characteristics. To generalize from this, we can say that an analogical argument is likely to be sound when the characteristics C_1, C_2. . . and C are found to go together as the consequence of a causal connection. To criticize our first example--the earth-living creature example--we would show that the differences between the earth and the other planets are of such a nature as to make it unlikely that the other planets have living creatures. We would deny the analogy. And in making the case for denying the analogy we would argue that the characteristics--R, B, A, M, and S--though they are often found with L (living creatures)--are not always so found, and they are not causally connected with them.

A second kind of sound analogical argument which is common is found in this example:

> My last Volkswagen gave me no trouble, so it is likely that my new one will run as well.

What makes the inference fairly sound in this argument is that the two entities being compared (X and Y) in this case are qualitatively identical--same make of car. To generalize from this example, we can say that when the entities compared are qualitatively the same or virtually the same, then the analogical argument is probably all right.

A third kind of analogy is what in logic is called refutation by logical analogy, a refutation which occurs when someone refutes an argument by constructing an argument which is essentially like the one to be refuted but whose unsoundness is evident. Here is an example of a refutation by logical analogy:

A. If God had meant us to fly, He'd have given us wings.
He didn't. So we shouldn't fly.

B. If God had meant us to ride, He'd have given us wheels.
He didn't. So we shouldn't ride.

B's argument, as we can see, is essentially like A's. But A, and most people would not say we shouldn't ride. So they would feel that the conclusion--we shouldn't ride--doesn't follow from the premises, or they would feel that one of the premises is false. And if this is true, the same would hold for A's argument since it is essentially like B's.

Refutation by logical analogy clearly fits the form of an argumentative analogy. Such a refutation runs like this: The second argument (X) is essentially like the first (Y); there are characteristics in common (C_1, C_2. . .). The second argument is unsound (C); therefore the first argument is unsound (C).

Often students come to conclusions not by having come upon reasonable evidence for these conclusions but by way of analogies. Sometimes they are quite unaware that this is how they have come to a conclusion. If you asked such students why what they say is true is true, they sometimes cannot say; or they contrive reasons, many of which they have never previously considered, in order to avoid an embarrassment. Sometimes, however, they produce the analogy which led them to their belief.

Consider these examples of possible student beliefs arrived at through analogy. College student Snodgrass believes that all societies, after a certain time, die. This might be true, and possibly some of those who believe it could provide a case for its being true, but this is not how student Snodgrass came to believe this. Rather at one time he reasoned that societies are like persons, was captured by this analogy, and this led him to believe that all societies die. Student Tittlebat believes that we should not do away with the joint chiefs-of-staff and have a single command. Again this might be true, as in the case with all these beliefs. But how student Tittlebat came to this belief is that a one time he was reminded that Germany and Japan had a single command in World War II and look what happened to them. Student Tracy Tupman believes that automation can do nothing but good in the U. S. A. He came to believe this because one day his dad told him that when the old time blacksmith put away his hammer, he set up gas pumps; today there are many men happily employed in gas stations, more than were employed as blacksmiths. Student Goosewell believes that we should not increase our military spending every time the Russians do. If you try to keep up with the Joneses you can, as we all well know, easily go bankrupt. Student Ogmore-Pritchard cannot see why people criticize the colonial system, for, at her mother's tea, which she will always remember, the distinguished speaker said that the colonial system is like parents' controlling their children until the latter reach the age of discretion, and Ogmore-Pritchard certainly knows that her parents should do this. Student Romanoff does not believe that there need to be two parties in the South. It is no more necessary for there to be two political parties in the South, he says from time to time, than that a man should have two heads. Student Snort publicly opposes any "ridiculous and immoral" proposals to reduce the federal taxes in order to overcome the government's yearly deficit. A business, he argues, cannot overcome its deficits by reducing prices. A family cannot reduce its deficits by having itshead receive a lower salary.

These examples illustrate the pitfalls of analogical arguments. They help us see how it is possible for people to come to strongly held conclusions independent of reasonable evidence, how the possibility for mistaken beliefs arises, how often people reason in terms of analogies, and how easily this results in mistake.

To be bewitched by a misleading analogy is to be bewitched by language. It is to misuse language as surely as when one loses one's sense of syntax (though perhaps in a more basic matter).

Notes on Exercise 12

I, i. Analogy used to illustrate a point about indecision or to make clear what its dangers are.

I, ii. Analogy used to clarify what is meant by "an efficient business organization."

I, iii, a. Analogy which is "mad"--part of its madness lies in its apparent use both to clarify what coming home is like and to "prove" what is going to happen. "What has she done?" She has illustrated how she views being rescued from water and being pulled from home and with sufficient eccentricity to indicate a good deal about herself.

b. The answers here should be obvious. The analogy is offered as proof, can be refuted by showing that Y does not have C_1, C_2, etc.

c. This should make clear why Y doesn't have C. Methods of refutation are pretty persuasive. If a man can't fly, he can't fly no matter what the analogy says. B needs to be reminded through a refutation by logical analogy: "Fish lay eggs so they can fly."

5,6,7,8: cf. essay above.

Exercise 13: Relating Bits and Pieces: Questions 1-8: Various Kinds of Hypotheses

"Analogy" is arguing that because thing A has such-and-such qualities 1, 2, and 3, thing B (which is "like it" in having qualities 1 and 2) must also have quality 3. The formulation of hypotheses and their testing is a little like looking for "the right analogy"--the right model, the right way of perceiving a set of circumstances so that all of them are accounted for in a consistent way. Questions 1-8 deal with the formulation of hypotheses, some of them as part of a rigorous explanation of physical phenomena, some of them as part of "day-to-day" living.

It is sometimes said that the generalizations which make up the body of scientific knowledge are discovered by observing regularities. For the bulk of the generalizations which make up scientific knowledge, however, this is not true. The general statements which make up the body of scientific knowledge come to be formulated or are discovered in the context of explaining some phenomenon or phenomena. In everday experience we ourselves often provide explanations for phenomena. Generally such explanations arise because of our coming upon some event which we find unusual. For example, a person notices that all the window glass in a building being constructed has on it large white painted X's. Why do they paint X's on the glass in the windows? What is the explanation of this phenomenon? The explanation which comes to mind is that the glass is painted so that the workers around the building can clearly see when glass has been put in and when it has not been put in. And by observation or by inquiry this hypothesis can be verified, for this is indeed the explanation for this phenomenon.

Though this example is elementary, it does present the important pattern of discovery which is found in science and in much "discovery." The elements of the pattern are these:

I. First, a phenomenon is observed--in this example, X's on the window glass of the building being constructed.
II. Second, the question 'Why?' is asked.
III. Third, a hypothesis (that is, a statement which explains the phenomenon) is formulated--the X's on the glass are to make clear to the workers when glass has been put in the frames.
IV. Fourth, the hypothesis, is tested.

Most of the general statements found in science were first formulated in response to the question 'Why?' asked of some observed phenomenon. And they become part of the body of scientific knowledge when they are successfully tested. There are, of course, some hypotheses which fail the test and are thus given up.

The above pattern with its four elements can be nicely illustrated for students interested in science in this episode from the history of science:

> On the 7th of January 1610, at one o'clock in the morning, when [Galileo] directed his telescope to Jupiter, he observed three stars near the body of the planet, two being to the east and one to the west of him. They were all in a straight line, and parallel to the ecliptic, and they appeared brighter than other stars of the same magnitude. Believing them to be fixed stars, he paid no great attention to their distances from Jupiter and from one another. On the 8th of January, however, when, from some cause or other, he had been led to observe all the stars again, he found a very different arrangement of them: all the three were on the west side of Jupiter, nearer one another than before and almost at equal distances. Though he had not turned his attention to the extraordinary fact of the mutual approach of the stars, yet he began to consider how Jupiter could be found to the east of the three stars, when but the day before he had been to the west of two of them. The only explanation which he could give of this fact was, that the motion of Jupiter was direct, contrary to astronomical calculations, and that he had got before these two stars by his own motion.
>
> In this dilemma between the testimony of his senses and the results of calculation, he waited for the following night with the utmost anxiety; but his hopes were disappointed, for the heavens were wholly veiled in clouds. On the 10th, two only of the stars appeared, and both on the east of the planet. As it was obviously impossible that Jupiter could have advanced from west to east on the 8th of January, and from east to west on the 10th, Galileo was forced to conclude that the phenomenon which he had observed arose from the motion of the stars, and he set himself to observe diligently their change of place. On the 11th, there were still only two stars, and both to the east of Jupiter; but the more eastern star was now twice as large as the other one, though on the preceding night they had been perfectly equal. This fact threw a new

> light upon Galileo's difficulties, and he immediately drew the conclusion, which he considered to be indubitable, that there were in the heaven three stars which revolved round Jupiter, in the same manner as Venus and Mercury revolved round the sun. On the 12th of January, he again observed them in the new positions, and of different magnitudes; and, on the 13th, he discovered a fourth star which completed the four secondary planets with which Jupiter is surrounded.
>
> (Sir David Brewster, The Martyrs of Science)

Through his telescope, Galileo observed this phenomenon on the 7th:

W o ◯ o o E

His hypothesis was that all three of the bodies around Jupiter, what he called "stars," were fixed stars. On the 8th he observed this:

W o o o ◯ E

What explains this observation? The only explanation Calileo could think of was that Jupiter moved east. However this hypothesis went against known astronomical regularities and also it did not explain why the stars were closer together on the 8th. On the 10th he observed:

W ◯ o o E

If his first hypothesis were true, then Jupiter would have had to move west again. But this could not be true, so the explanation must be that the stars moved. On the 11th he observed:

W ◯ o O E

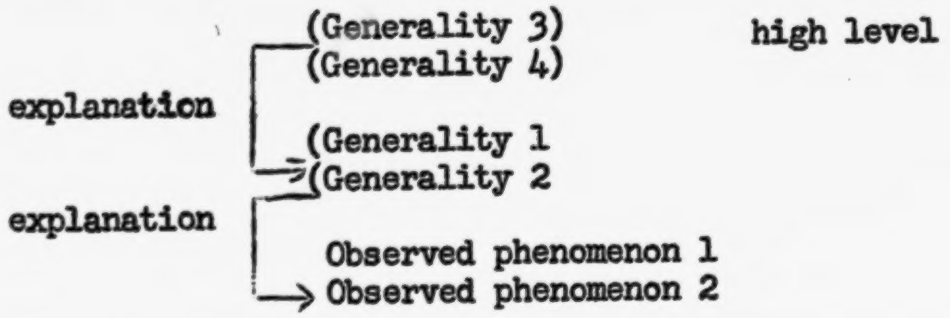
This phenomenon suggested the hypothesis that the three stars were not really stars but bodies which were satellites on Jupiter.

Here we clearly have these steps:

(1) A phenomenon is observed.
(2) The question 'Why?' is asked.
(3) A hypothesis--Jupiter moved--is formulated.
(4) Further observations reveal a phenomenon--Jupiter moved from west to east and then back west again--which, if it were true would imply an absurdity. So the hypothesis is abandoned.
(5) A second hypothesis--the "stars" move--is formulated.
(6) Observations are made which confirm this hypothesis. (The phenomenon observed could not be explained, by the way, merely with the first hypothesis.)

Later, of course, other observations were made which made it certain that Jupiter has four planet satellites.

It should be briefly noted that though most generalizations in science are discovered in the context of explaining observed phenomena, some are formulated to explain the established generalities. Thus we sometimes have:



For example, Kepler's laws of planetary motion--e.g. planets move in eliptical orbits--were formulated to explain astronomical observations, whereas Newton's three laws of motion [e.g. (Law I) Every body perseveres in its state (or rest or uniform motion) in a right line unless it is compelled to change that state by forces impressed thereon] were formulated to explain Kepler's generalities.

All hypotheses can be indirectly tested. To indirectly test a hypothesis, H, one first asks the question: If H were true, what else would be true? Let us say that in answer to this question it is found that: If H_1 were true, then P_1 would be true (where "P_1" stands for some observable phenomenon). H_1 can now be indirectly tested by finding whether P_1 is true or false. If P_1 is found to be true, then H_1 is confirmed. If P_1 is found to be false, then H_1 is denied by the evidence.

Returning to the examples of section I, we can see how the hypotheses considered there could be indirectly tested. The window glass hypothesis would yield this consequence: If Hwg is true, then windows put in after all the work is done on the buildings would not have painted X's ($P\ wg_1$). If Pwg_1 is true, this would confirm Hwg; if it is false, then this would deny it. For Galileo's second hypothesis--the "stars" move--we can say: If Hg is true, then at some time each one of the stars will be invisible from Galileo's point of observation (Pg_1). Hg can thus be indirectly tested. Pg_1 is, of course, true; thus Hg is indirectly confirmed.

Both of these hypotheses can also be directly tested. That is, we inquire and find out whether Hwg is true or false. And it is possible, though it would be immensely difficult, from a certain point to see whether Hg is true or false. A hypothesis can be *directly tested* when observations can be made of the state of affairs spoken of in the hypothesis or, in the case of psychological propositions, when observations and inquiry can show that the statement is true.

Though all hypotheses can be indirectly tested, not all hypotheses can be directly tested. Many hypotheses in the advanced experimental sciences are theoretical hypotheses--that is, contain terms which refer to "things" which are in principle unobservable--electrons, light waves, molecules, atoms, genes, and neutrinos. One can't look at these in the way that Galileo looked at the moon.

Let us examine a famous episode from the history of science--one in which a theoretical hypothesis was formulated. During the eighteenth century, the accepted theory concerning heat was the caloric theory of heat. In this theory heat was regarded as a substance--a kind of fluid. This fluid could flow from one body to another and could accumulate in bodies. This hypothesis--that heat is a substance--explained many observed heat-phenomena--why, for instance, when a body, say, a stick of wood, is placed next to, say, a radiator, it becomes hot, why bodies expand when heated. The fact that bodies when heated do not become heavier was explained by the supposition that this heat substance, caloric, was weightless. At the end of the ninteenth century, Count Rumford (whose real name was Benjamin Thompson) was struck by the considerable amount of heat which a brass cannon barrel acquires when it is being bored. He was struck by this because this phenomenon appeared to be against the accepted caloric theory (in the way that Galileo's observations on the 10th of January went against his first hypothesis). It appeared that an unlimited amount of heat could be produced by the friction of two such bodies. If heat were a substance, how could so much heat be produced and continue to be produced by the boring. Rumford then formulated this hypothesis:

> . . . anything which any isolated body, or system of bodies can continue to furnish without limitation cannot possibly be a material substance; and it appears to me to be extremely difficult, if not quite impossible, to form any distinct idea of anything capable of being excited and communicated in these experiments, except it be motion.

This hypothesis--that heat is motion, and not, say, a substance--is called the kinetic theory of heat. Heat, according to the theory, is due to the motion of the molecules of a substance. When a substance is heated--for example, when the stick is placed next to the radiator--what happens is that the velocity of the molecules of the wood is increased due to the collision of the wood molecules with the metal molecules.

Rumford's hypothesis is a theoretical hypothesis. It involves the assumption concerning unobservable molecules. There are of course so many confirmations of the molecular theory of matter that today it is regarded as established. One experiment at the time, however, provided some of the first confirmations for the theory. It was reasoned that if the kinetic theory is true, then if two ice cubes are rubbed together in a temperature below freezing, they will melt. In the 18th century Sir Humphrey Davy performed this experiment and the ice melted. Here the hypothesis was subjected to and passed an indirect test.

Most general statements in science are formulated and retained in this context:

(1) Some phenomenon or phenomena are observed.
(2) The question 'Why?' is asked of these phenomena.
(3) An explanation is formulated which is called a hypothesis.
(4) The hypothesis is indirectly or directly tested.

There are two kinds of hypotheses: theoretical and experimental. A theoretical hypothesis contains some terms which refer to unobservable entities. An experimental hypothesis contains only terms which refer to observable things. Both kinds of hypotheses can be indirectly tested. To indirectly test a hypothesis, one must derive statements from the hypothesis which would be true if the hypothesis were true. The statements must be directly testable. A statement is directly testable when observation and experiment can show that the statement is true. Only experimental statements, and thus only experimental hypotheses, are directly testable.

There is by now universal agreement that if an effort to relate observations of physical phenomena can neither be directly nor indirectly tested, then it is not a genuine explanation. That is, unless one can observe (using experiments, as necessary) the state of affairs spoken of in the explanation (direct testing) or unless consequences can be derived from the explanation which can be directly tested (indirect testing), the explanation is not a genuine explanation.

It will be useful to examine some explanations which purport to be scientific but which fail to fulfill this criterion, and which thus are to be classed as pseudo-explanations. Consider these examples:

(1) Men act in the way they do because they suffer from inferiority feelings. For example, young people volunteer for the Peace Corps because they need to prove to themselves that they are capable of taking risks. All actions are done from feelings of inferiority.

(2) In the case of normally developed embryos a definite part develops into an eye, another into a foot, etc. With some embryos, if such parts are removed the mature organism will not necessarily lack an eye or foot since the formation of these organs will be taken over by other parts of the embryo. Why is this? Some biologists have explained this by an entity called the "entelechy." The "entelechy" is that which directs the parts to form these organs. There is nothing like the entelechy in the inorganic world. The entelechy was thought to be "not an energy, not a force, not an intensity, not a constant, but--the entelechy. . . .The entelechy relates to space, thus belongs to nature; but the entelechy is not in space--it acts not in space but into space." It is "indivisible" and "non-localized."

(3) It is commonly thought that individuals influence important historical events. Actually such events are not to be explained by the decisions of men. If we examined them closely, we find that all human actions are the results of laws of nature. History has not been the result of voluntary efforts on the part of individuals but has been subjected to these necessary laws.

Let us now see in what ways these examples of explanation fail to fulfill the criterion of testibility. In the first example the explanation is of all voluntary human actions. It is: All voluntary human actions are motivated by feelings of inferiority. Now it is important to note that those who hold and explain this theory would say that any action which we ordinarily would speak of as motivated by feelings of love, respect, desire to help others, etc. is motivated by inferiority feelings. This is brought out in the Peace Corps example. Thus there is no voluntary action which we could imagine which they would call "motivated by no feeling of inferiority." This being the case, there is nothing which we could possibly observe, nor is there any inquiry which we can make, which would falsify the explanation. Now if nothing we could observe or find out can possibly falsify the statement, then it cannot be directly tested. For statements which can be directly tested are those which could conceivably fail the test and thus be falsified. In addition, no consequences can be deduced from the explanation which can be directly tested. Any consequence which follows from the explanation would be like the explanation itself--that is, it would be such that no conceivable observation could falsify it, and hence observation cannot not verify it.

The second explanation clearly involves a supposed theoretical entity--the "entelechy,"--thus it cannot be directly tested. In addition, the notion is so formulated that no consequences could be derived which could conform or go against what can be observed. The fact that the entelechy is supposed not to be in space, the fact that it is not an energy, not a force, etc., brings this out. Thus it cannot be indirectly tested, and, consequently, fails to fulfill the testibility criterion.

The explanation in the last example also fails the testibility criterion. Here again, the notion of "law of nature" is so formulated that no conceivable action which we might imagine would be regarded as falling outside these "laws of nature." Since no consequences can be derived from using this notion which could be directly tested, and since the explanation itself cannot be directly tested, it is not a genuine scientific explanation.

Galileo's first hypothesis--that Jupiter moves--and the caloric theory of heat are genuine scientific explanations. Each fulfills the testibility criterion. That Jupiter moves can be both directly and indirectly tested. Galileo, though, abandoned the hypothesis because it went against established astronomical knowledge. The caloric theory, since it is a theoretical explanation, cannot be directly tested. However, it can be indirectly tested. In fact, Davy, when he performed the experiment with the two ice cubes, was testing not only a consequence of the kinetic theory but a consequence of the caloric theory. If the kinetic hypothesis were true, the cubes would melt, but if the caloric hypothesis were true, it was thought that the cubes would not melt. It was a series of tests of this sort--that is, experiments which falsified consequences which were thought to follow from the caloric theory--which resulted in the abandonment of the caloric theory.

Though Galileo's first hypothesis and the caloric hypothesis were genuine scientific explanations, they were not satisfactory explanations. If an explanation can be directly tested and is, then, of course, it is satisfactory. If an explanation cannot be directly tested, then it is generally a satisfactory explanation if these criteria are fulfilled:

First, the explanation must explain the relevant phenomena (or relevant established generalities).
Second, the explanation must be successfully indirectly tested--that is, consequences derived from the explanations must be directly tested.
Third, the explanation must be compatible with established generalities. (Galileo's first explanation is an example of an explanation which is incompatible with established generalities.)
Fourth, if possible, the explanation should be derived or be a consequence of higher level explanations (as Kepler's laws are derived from Newton's laws).

When a theoretical explanation fulfills these criteria it is regarded as established or corroborated. The caloric theory failed to be established because it failed to fulfill the second criterion. Pseudo explanations cannot possibly be established or fail to be established since they cannot be tested; they cannot be incompatible (or, thus, compatible) with established generalities; nor can they possibly be derived from high level established generalities.

Exercise 13: Relating Bits and Pieces: Questions 1-8: Notes

1. cf. the essay above.
2. Notice where the phenomenon is observed, where the "why" asked, where the hypothesis is formulated, and where tested. Notice that the hypothesis is directly tested--an observation can be made as to whether he still makes the noise.
3. a. Notice where phenomenon observed, where "why" asked, where the hypothesis formulated and tested. Notice that the phenomenon is "A man makes a mistake and says 'he' where he means to say 'she.'" The "why" is asked, and two hypotheses are formed, the general principles ["There is a reason for every mistake" (formulated earlier by the psychologist)] and the specific application of the principle to thise case [the man "said 'he' because he was himself the man involved in the divorce case and wished that he, instead of his wife, had got the divorce."] The test is indirect; if the man is a man who got a divorce, the hypothesis is taken as confirmed. No one obviously can look at the man's "memory" as "mistake-making apparatus." The test of the general hypothesis is also indirect.

   Students may wish to discuss the degree to which this, like the Peace Corps inferiority complex hypothesis, is "untestable." How would one prove to Brill that a man had "just made a mistake"?

   b. The test is indirect. The four stages in formulating a hypothesis are easily identifiable as are the ways in which it fulfills the criteria for indirect testing.
5. The student would obviously have to examine all of the storms and all of the "clashes" between characters which are found in the novel. He would want to observe any exceptions to the rule. He would have

to watch the language of the novel, the extent to which the language used to describe storms appears to be, in each case, a preparation for, or commentary on, the language used to describe clashes between people.

6. cf. the essay above.
7. Seven involves the application of "established generalities"--probable patterns of human behavior--to the action of a brother. Answer A is more probable than the others, but what is probably so is not necessarily so. Indirect and direct tests could both be used.
8. Answer A is the more probable hypothesis--a simple commonplace behavior is offered as a tentative explanation. Students can readily discuss how it could be directly or indirectly tested.

Exercise 13: Relating Bits and Pieces: Questions 9, 10, 11, 12, 13 and
Exercise 14: From Some to Many

The last part of Exercise 13 and the first part of Exercise 14 both deal with what may be called procedures for confirming "generalizations"--procedures related to the testing of some hypotheses--Exercise 13 with ways of confirming generalizations about causes and effects; Exercise 14 with selecting samples.

If you are unsure about what kinds of questions one asks when one is asking for fairly strict inductive procedures in constructing generalizations (something which may or may not be appropriate to the context in which a particular kind of informative use is being made of language), it may be helpful to have in mind an episode from the history of science:

> In the Canal Zone yellow fever was a problem. What caused it? It was found by careful observation that those who got yellow fever had been bitten by mosquitoes which had previously bitten those who had yellow fever. It was also observed that even with great differences in living conditions, diet, labor, heredity, etc., all those who got yellow fever had been bitten by these infected mosquitoes. This suggested to those working on the problem that infected mosuqitoes were the cause of yellow fever.

What first suggested that infected mosquitoes cause yellow fever was the observation that those who contracted yellow fever had always been bitten by infected mosquitoes, by mosquitoes which had previously bitten people with yellow fever. A statement that when A happens, B happens may be satisfactory "proof" in some instances. For example, the fact that dipping litmus paper in acid is followed by the paper's turning red is good grounds for concluding that dipping the paper in acid is the cause of its turning red:

When A happens, B happens.
Therefore A causes B.

But that A happens before does not always mean that it causes B. Sometimes this kind of induction is not sufficient evidence for asserting a causal connection.

Inductive procedures called "the Method of Agreement," "the Method of Difference," and "the Method of Concomitant Variation" are also used to establish causal connections. They allow us to tell, in a somewhat more precise way, what goes with what. The second experience which suggested that infected mosquitoes cause yellow fever was the fact that yellow fever victims who differed from each other in many ways had all been bitten by infected mosquitoes. The argument takes this form (let A, B, C, . . . stand for the characteristics such as living conditions, labor conditions, diet, etc., and let IM stand for "bitten by infected mosquitoes" and YF stand for 'yellow fever'):

Individual 1 has A B C   IM and YF
Individual 2 had A B D   IM and YF
Individual 3 has B D E   IM and YF
Individual 4 has A D E   IM and YF

IM is likely to be the cause of YF.

Traditionally arguments of this type are said to use the Method of Agreement. In some circumstances an argument using the Method of Agreement (one having a form like the above) is sufficient to establish a causal connection when, for instance, all the possible factors which could have caused some phenomenon seem to have been considered. Suppose, for example, a number of students from the same school have a similar stomach upset caused by something they have eaten we are fairly certain. If they all ate breakfast and dinner at home, but all had the same thing at lunch in the school cafeteria, tuna fish salad, one is probably justified in concluding that the tuna fish salad caused the upset stomachs. The argument takes this form: (let A, B, C, . . . stand for the different foods eaten, TF for 'tuna fish salad' and SU for 'stomach upset'):

Individual 1 has A B C   TF and SU
Individual 2 has B C D   TF and SU
Individual 3 has A C D   TF and SU
Individual 4 has A B E   TF and SU
etc.

TF caused the SU.

Let's continue the yellow fever story:

> Experiments were devised to show that yellow fever was transmitted by the mosquito alone, all other reasonable opportunities for being infected being excluded. A small building was erected, all windows and doors and every other possible opening being absolutely mosquito-proof. A wire mosquito screen divided the room into two spaces. In one of these spaces fifteen mosquitoes, which had fed on yellow fever patients, were liberated. A non-immune volunteer entered the room with the mosquitoes and was bitten by seven mosquitoes. Four days later, he suffered an attack of yellow fever. Two other non-immune men slept for thirteen nights in the mosquito-free room without disturbances of any sort.

The first experiment to verify the hypothesis that infected mosquitoes cause yellow fever (found in the first paragraph) consisted in having three non-immunized volunteers placed in identical circumstances except that one volunteer was bitten by infected mosquitoes. The one bitten contracted yellow fever, while the other two did not. This experiment confirmed the hypothesis. The argument takes this form (let A, B and C stand for the circumstances of living described):

Individual 1 has A B C IM and YF
Individual 2 has A B C and no YF
Individual 3 has A B C and no YF

Therefore IM caused the YF.

Arguments of this form are traditionally said to use the Method of Difference. The second experiment described in the second paragraph also employs the Method of Difference. All the factors which might possibly cause the yellow fever, except mosquitoes, were introduced to a group of men (let these be represented by A, B, and C). The experiment and its outcome provided this argument:

People A B C IM and YF
Control group A B C and no YF

Therefore IM causes YF.

These two experiments in these circumstances established that infected mosquitoes cause yellow fever. If all people who get yellow fever are bitten by infected mosquitoes and if only people bitten by an infected mosquito get it, then the problem seems settled.

In many cases the phenomenon under consideration (the phenomenon of which the cause is sought) can be varied in some way: for example, the number of cases of yellow fever out of 1000 in a two week period can vary. The number could range from 0 to 1000. The number of infected mosquitoes released on a given group can so be made to vary. If it were found that as the number of mosquitoes released on such a group increases, the number of cases increases, this would provide additional confirmation that infected mosquitoes cause yellow fever. The argument would take this form:

> An increase in the number of infected mosquitoes is accompanied by an increase in the number of yellow fever cases. Therefore, infected mosquitoes cause yellow fever.

An argument of this form is said to use the Method of Concomitant Variation, a method used in much educational research (particularly research on new curricula which are, in such cases, treated as variant factors, "yellow fever mosquitoes," in the yellow fever experiment). In some circumstances the use of the Method of Concomitant Variation alone is sufficient to establish a causal connection (as it is true that in some circumstances the other inductive procedures alone are suffieicent). For example, observing that tides change with the position of the moon, we properly conclude that the moon's position is causally connected with the rise and fall of the tides.

The inductive methods described above can be employed not only to establish causal connections but to establish that a supposed causal connection does not exist. This is nicely illustrated in this report of an experiment by Pasteur:

In this example inductive procedures were employed to check the hypothesis that the horse doctor's treatment cured anthrax. Four cows were given anthrax. Two of them--A and B--were given the doctor's treatment. Two--C and D--were not given the treatment. A and D got better, while B and C died. In order for the experiment to confirm the hypothesis this should have been the results:

Cows A:	A B C	T	C
B:	A B C	T	C
C:	A B C		D
D:	A B C		D
	factors in common	T = treatment	C = cured D = died

The results, however, was different. Here the Method of Difference was employed. The result showed that the hypothesis was false. If A and D had been treated instead, this would have, in the circumstances, apparently provided evidence for the hypothesis, but, since we know now the anthrax is not cured in this way, additional experiments employing inductive methods would have clearly shown that the hypothesis was false. It is interesting to note that it was the coincidence of some cows naturally getting better after treatment which led the horse doctor to believe that his treatment cured anthrax.

Sometimes a studen'ts grounds or evidence for making a general proposition, for example "All A is B," is that he finds an instance of an A which is B. "Brainy people are maladjusted--because Joe Zilch down the block gets A's and cries in class." That is, sometimes the student moves from an observation about a single member of a group to affirm the corresponding observation about the whole group. In certain physical investigations, such an inference is quite sound. Years ago, in studying an object which floats on the surface of water, it was noticed that the water displaced by the object was equal to the weight of the object, and, from this observation it was concluded that every floating body displaces a weight of liquid equal to its own weight. And this inference is sound, an inference which can be set down explicitly in this way:

> This floating body (A) displaces a weight of liquid equal to its weight (B).
>
> Therefore all floating bodies (A's) displace a weight of liquid equal to their own weight (B).

From a singular proposition a general proposition is inferred in a manner which is sound because the A in this case--the particular floating body--in respect to the characteristic under consideration--B, displacing weight in water--is representative of all floating bodies and because, in studying the behavior of A, care was taken to make sure that no characteristic peculiar to A influenced the matter under consideration--its relation to the water it displaces when it floats. Often, however, an inference of a general proposition from a particular proposition is not sound, a hasty generalization. As we all know, there are many differences among individuals. On the whole, to infer from what is true of one individual to what is true of all individuals is suspect:

(1) Every young person should work his way through college, for it certainly did a world of good for my boy.
(2) All men are moved by selfish impulses, for I know from my own experience that I never do anything unless I think it is in my interest.

Sometimes a sound argument results from inferring a general proposition from a particular proposition (Some A is B) but sometimes an argument of this kind is also unsound--a hasty generalization. Let us take a sound instance, first. Here Dr. E. Cuyler Hammond's 1951 study of the effects of smoking:

> After designing and pretesting a questionnaire in the fall of 1951, we trained more than 22,000 American Cancer society volunteers as researchers for the study. Between January 1 and May 31 of 1952 they enrolled subjects in 394 counties in nine states. The subjects, all men between the ages of 50 and 69, answered a simple confidential questionnaire on their smoking habits, both past and present. A total of 187,783 men were enrolled, filled out usable questionnaires and were successfully kept track of for the next 44 months.

> Death certificates were obtained for all who died, and additional medical information was gathered for those who were reported to have died of cancer. All together 11,870 deaths were reported, of which 2,249 were attributed to cancer.
>
> The most important finding was that the total death rate (from all causes of death combined) is far higher among men with a history of regular cigarette smoking than among men who never smoked, but only slightly higher among pipe and cigar smokers than among men who never smoked.*

In this example, from what is true of some U. S. men between the ages 50 and 69 a conclusion is drawn about all U. S. men between these ages. The conclusion is: the total death rate is far higher among U. S. men with a history of regular cigarette smoking than among men who never smoked. What makes this inference sound is that great care was taken in the selection of the A's so that what was true of the A's selected would be true of all A's. 187,783 men were enrolled in the study and they were from 394 counties in nine states. In other words, a good sample of A's (the male population between 50 and 69) were selected. When the sample of A's is not a good sample, the conclusion may also be no good:

(3) Most of the letters I have received clearly express disapproval of the President's medicare bill, so the majority of the American people are against it.

(4) All Negroes are shiftless and lazy, for the ones that have worked for me and for my friends haven't come near to earning their pay.

(5) When we demanded that the missiles be withdrawn from Cuba or we would wipe them out with fire bombs, the Soviets pulled them out. When we put the Pacific fleet between the Chinese and Formosa, they stopped their invasion threats. It is clear that if we just stand up to the Communists they will back down.

In each of these it is clear that the instances considered do not represent accurately the entire class of those things being considered. In the first example (3) the letters received by a particular Congressman are not always representative of all voters. In (4), generally how a particular group of individuals of a class of this kind act is an unreliable basis on which to judge all such people. And in the last example, cases have been selected which support the conclusion. No mention is made of what has happened in other situations. Thus these two examples do not give us a proper picture of how the Soviets have reacted to our standing up to them.

Applying methods of difference, likeness and concomitant variation, means very little where the sample does not represent the whole group concerning which a generalization is sought.

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*E. Cuyler Hammond, "The Effects of Smoking," in Scientific American, July 1962. pp. 41-42.

Special pleading occurs when one gives the "facts" or some of the reasons which support a statement but ignores matters which go against the statement--when one takes some evidence but not all of it, takes what one wants, perhaps also from a biased sample, perhaps not:

> Industrialization has resulted in the intensification of war, exhaustion of natural resources, destruction of individual initiative by governments and control over men's minds by central organs of education and propaganda. Can anything be clearer than that we should do away with industrialization and return to an agricultural society?

None of the possible benefits of industrialization are mentioned, "partial elimination of poverty," "wider education of the people," etc. Furthermore, the consequences of returning to an agricultural society are not considered, "possible mass starvation," etc.

Sometimes we argue that, since a certain event was preceded by another event, the preceding event was the cause of the latter event (when the preceding event was not the cause). The argument has this form:

B follows A
Therefore A is the cause of B.

Here are two simple examples of this error:

A. You caught the seven-year itch right after you broke that mirror. It only goes to show that breaking a mirror causes seven years bad luck.
B. Right after Khrushchev took his missiles out of Cuba we began removing our missiles from Turkey and Italy. One side's removing missiles causes the other side to also remove missiles as surely as thunder follows lightning.

There is no cause and effect relationship between mirror-breaking and unfortunate events. And there was apparently no connection between the removal of the missiles from Cuba and the removal of the missiles from Turkey and Italy. The missiles were removed from Turkey and Italy because a better form of missile delivery--the Polaris submarines--had been put into operation in the Mediterranean area. An argument of this kind looks a little like a concomitant variation argument but the variation which occurs concomitantly occurs concomitantly only once and does not occur in a class of variations. Sometimes students argue that since a certain event happens with another event, one event is the cause of the other (when the events are not causally related):

When A happened, B happened.
There, A is the cause of B.

Consider this example:

> As you walk through Rome you wonder what could have destroyed such a magnificent civilization. Then you read in history books that in ancient Rome the day's work was over by noon. Can the twenty-hour week in the U. S. be the beginning of the end for us?

In this example the question has implicit in it as a presupposition that the practice of ending the day's work by noon (if this is true) was the cause or one of the causes of the destruction of ancient Roman civilization, and that if working hours are reduced in any country, it is possible that this will cause the country's "end."

The success of many "medicines," medical cults, and medical quacks is due to the mistake we are describing. For example, Mrs. Ogmore-Pritchard has been suffering from a persistent sore throat. She decides to try a new medicine she heard of from a friend or through the mail, or better still, she decides to try a new doctor she has heard about who does not follow the usual methods. Doctor Manchester, who is a distinguished looking man, shines a red light from an impressive electronically decorated machine on her throat for ten minutes, charges her five dollars for this treatment, and tells her she needs three or four more treatments. After a week or so her sore throat is gone. She tells her friends. When some of her friends and even her family doctor tell her that the man is a medical quack, her answer is, as you might imagine, "It worked, didn't it!" Now it is true that her sore throat disappeared after the red light was shined on her. What is not necessarily true is her conclusion--the cause of the disappearance was the red light. She has not discovered a consistent patterning of A with B such as it discovered by the method of difference, similarity, and variation.

Notes on Exercises 13 (second part) and 14:

Questions 9, 10, 11, 12, and 13 in Exericse 13 and Questions 1 and 2 are treated in the essay above. Question 3, Exercise 14 is fairly obvious. The teacher may find it useful to review the Form Class (Grade 7), Syntax (Grade 8), and Syntax and Rhetoric (Grade 9) units before he has the students do the inductive analysis proposed in Question 4, Exercise 14. Those units invite a similar kind of inductive analysis.

C. Arrangement: Finding a Way to Say It

[You might do well to skip to Exercise 16 in the Student Packet and read it before you read this commentary on Exericse 15, for Exercise 16 summarizes the points which Exercise 15 tries to make, or rather tries to lead the students to make.]

Exercise 15: Introduction

This exercise has eleven parts--one half of a hypothetical telephone conversation followed by ten sets of questions. As the questions make clear, the exercise depends upon an analogy, a comparison of the uses to which language is put in a phone conversation and the uses to which language is put in the very narrowly restricted kind of writing we want to teach students to do in this unit--academic essay writing. The students are first asked to analyze the telephone conversation in terms of the uses of language studied in the ninth grade unit, "Uses of Language," and then to use the analysis as a way of looking at (and of writing) essays. The analysis leads the students to see first that the whole utterance (conversation, or, by analogy, whole essay) can be meaningfully designated as a single use of language; i.e., that the whole conversation or whole essay does have a single primary purpose, e.g., to inform, to express, to contract, to imagine, to direct, or to establish group solidarity.

The second set of questions shifts the focus from the whole utterance to various jobs within the whole, asking the student to visualize the responses appropriate to different aspects of the whole. The purpose here is to suggest that the parts can best be conceived of in terms of what they try to get the reader or listener to do, in terms of audience response. In viewing the parts in this way, one is viewing the whole conversation (or the whole essay) in terms of the shifting roles of language: the exercise thus begins to answer a question like "For what different jobs must I use language in order to write such-and-such an essay?" The different jobs are labeled in the next set of questions.

The third direction is to suggest that various parts of the whole utterance can also be seen as having a primary purpose, and, that the purpose of the part, while subserving the purpose of the whole, may be quite different from the purpose of the whole; thus, while the purpose of the whole utterance may be to get someone to do something, the purpose of the first part may be to establish group feeling. The fourth direction, to label each sentence in the introductory group of sentences, is to keep the student from the sort of oversimplifying which yields a one-sentence introduction or a one-sentence thesis statement. He should see, that is, that a sentence may be informative (or directive, cohesive, etc.) in a section which is cohesive (or informative or directive) in an essay which is directive (or cohesive or informative etc.).

The fifth and sixth sets of questions supply, first, a different way of speaking of the primary job of language in each part of the telephone conversation (and by implication, in each part of an academic essay) and, second, a different set of labels for the parts, a set of labels which you will recognize as coming from the classical rhetoricians. At this point the student is asked to see (question 7) that there is a rough correlation between the different ways of characterizing the uses to which each part of the telephone conversation is put and the different responses appropriate to each. One might well spend some time drawing out these correspondences and their implications to prevent the model from hardening too much. The point of seeing an essay in terms of the different roles language plays in it is to forestall the mechanical oversimplification of the structure and working of essays. Instead of thinking of the essay in terms of a plastic and static model--in terms of garden path which has a beginning, a middle, and an end, the student should think of the essay in terms of a process--a sequence of jobs done with a series of tools, all of which are words.

The ninth problem prepares the student to see that some of these jobs may be bypassed. Just as there is no need in some circumstances to scrape the old paint off before putting the new on, so there is no need in some circumstances to establish a feeling of togetherness before beginning to inform, no need to inform before directing, or no directing to be done. The tenth question in this exercise asks the student to see that the "circumstances" which dictate the different roles language plays within a conversation (or essay) are primarily "audience," "purpose," and "subject," to speak very generally.

Exercise 16: Overview

This exercise seeks to make explicit the implications which exercise ten has for writing essays. It gives parts of an essay and asks the student to look at these parts of a written utterance just as they previously looked at the parts of a spoken utterance--at a telephone conversation. The questions are for the most part self evident, but a few of them do require comment. Thus, in dealing with questions 1a, 1b and 1c, students will probably need no comment, but question 1d may be misleading. Students are asked in question 1d to give an honest criticism of their response to "teacher-talk." The student may very well be genuinely unable to do this. Very probably the student, as a reader, was unaware of being repelled or of being attracted. The point is that although we usually ask students to regard their audience as capable of being won or alienated, such considerations are often phony and irrelevant. While a boss or a teacher or a businessman who writes to one in a unpleasant and obnoxious manner can alienate his reader, the context usually establishes the reasons for the reader to read. Pussy footing to attract a reader is not important. The student reads primarily because he was directed to read, probably, and he would have read whether the writer repelled him or not; being repelled wasn't a real possibility for him--and he didn't consider it in reading the essay. Of course it is also possible that the student can give a response, and even an honest response. But he should not be forced to.

Question 2a is like question 1d in again asking the student to confront the reality of his experience in reading an essay instead of accepting the conventional formulations of what his responses should be. The "introduction" of the sample essay in this exercise is not very "introductory" in fact, since the whole preceding exercise was a prior introduction. Further there is clearly an element of pretense in the way that the statement of fact assumes that the student discussion in the preceding exercise made exactly the points which the sample essay makes: perhaps the discussion didn't make those points at all. It doesn't really matter whether or not the discussion did make these four points: what does matter is that the students see the way the essay does in fact work and that they do not glibly cite instead a formula of how it should work.

Question 2b gets at the way the writer's relationship to the material or the reader's relationship to the material might determine whether or not a statement of general case is included. You will observe that the question assumes that one can either tell the reader the main ideas and document them with particulars or examine particulars to lead the reader to the general ideas. These terms as applied to the strategy of presentation do not necessarily characterize the logic of the essay, only the order of the general-particular movement. These presuppositions probably should not be made explicit for the student because they so grossly oversimplify (it is not the case that essays are either deductive or inductive). It is the case that, in some circumstances, one chooses to omit any general statement of case, and one can suggest what such circumstances are like. The writer might omit it when his essay is an inquiry or when he wants to make his essay look like an inquiry. He might want to make it look like an inquiry either to give the reader the sense of excitement or discovery which he himself had upon thinking through the material with which he is working, when he is presenting a subject which characteristically requires particular examples--when his audience is undisposed to see anything but their own discoveries, when the audience is belligerent for some other reason, etc.

In question 3a the student is asked to relate his notions of organization to his notions of invention--to see that the writer answers different kinds of questions by the different roles he uses language for in the essay and that he arrives at his answers in different ways. To answer the reader's question "What is this essay about?" the writer does not look through a microscope or observe a sample.

Exercise 17: Conventions for Beginning

The student packet now asks the students to take a closer look at the first "part" of an essay, or rather at the collection of functions with which many essays begin, the "introduction." The exercise in effect presents several ways in which "real people," professional writers, did in fact begin their essays. These ways are not exhaustive; there are other ways of beginning, too. But these are some of the more common ways, and, if the student will learn to recognize these when reading or use them when writing, the exercise will yet be worthwhile. The assumption of this exercise is that the student can learn how to put essays together in pretty much the same way as he learned to put sentences together, by observing and imitating the ways used by the people who have learned how to do it. The child observes (listens to) those older people who use language around him, then tries to imitate what he hears, within the limits of his ability; similarly, this exercise permits the student to observe (read closely) more experienced contemporary authors and to figure out when, where, and how he might imitate them.

The introductions are clustered into groups, and following the first groups of introductions, all of which are alike in beginning with a fairly obvious generalization, is followed by several sets of questions, questions concerning (a) order of composition, (b) invention, (c) and roles of the reader and writer. These questions are again repetitious, for in essence they ask the student to ask of these professional passages the same questions they formerly asked (exercises 10 and 11) of "let's pretend" passages concocted for the exercises. Further the questions following the first groups of introductions are to be applied to each succeeding group.

The introductions in Group B all use a strategy which might be labeled "Analogy," those in Group C "Classification," those in Group D "Startling Statistics," those in Group E "Reexamination of an old Idea," Group F, "Proverbs," Group G, "Historical Incident," Group H, "Fable."

Exercise 18: Conventions for Proposing

The main points of this exercise are quite traditional, a summary of what you and I have been taught and have been teaching about propositions for a long time. The chief point is that the student should include fairly early in his essay, usually within the first three or four paragraphs, a reasonably explicit statement of the main point or points of the essay. The exercise attempts to show also that the form of this statement--the explicitness, repetitiveness, and fullness of its development,--depends to some extent on the nature of the context (written or spoken), content (technical or non-technical), purpose (to entertain, alarm, instruct, inquire, etc.), and audience (learned, unlearned; sympathetic, hostile, indifferent, etc.). The exercise also suggests that in the proposition the writer characteristically is succinct, explicit, and not very fancy. Finally, the exercise suggests that the proposition is primarily a sort of label on the bottle, a statement about the content--subject and main ideas--of the essay.

As they have just been stated, the main points of this exercise are oversimplifications which one hopes will not satisfy the better students. The better students should see that many good essays do not have a thesis statement, and that many good essays which do have such a statement do not obviously have an explicit statement of the main point of the essay, either because the thesis statement is doing several other things at the same time or because it is too graceful and subtle to call attention to itself as a thesis statement. In short, the main points of this exercise are inadequate to the complexities of the subject, inadequate in their emphasis on the proposition as a place, in the essay, inadequate in the limitation of the functions of the proposition and inadequate in the degree of overtness which they assume characterizes the proposition.

The proposition is presented as the second step in the essay, what you run into when you move out of the introduction. This emphasis on place is misleading in at least two ways. First, it suggests that the writer comes to the proposition as the reader or critic does--after he has finished the introduction. But it may just as easily be that the proposition was either the first or the last thing the writer wrote, or, if writing the essay was a way of getting clear about his subject, perhaps the proposition was the first and last thing written, the first the writer wrote and the last he rewrote. Second, the emphasis on place can easily be taken to mean that the proposition is a single and isolated statement, one sentence, and one which does not particularly have to fit with any of the surrounding statements. Again in fact there may be no proposition, and if there is, it may be a whole paragraph, or even two paragraphs. However long it is, it often grows out of and into the surrounding sentences so gradually as to be nearly indistinguishable unless you have read the essay and know where the writer is going. While it may be necessary for you to introduce the proposition as the second place in the essay, you should prepare the student to see that this is only a reader's perspective, and one, moreover, which is inappropriate for a great many first rate essays.

Similarly, while it is necessary to introduce the second section of the essay as a statement of the main point of the essay, in fact, as the perceptive student will observe, there are many different kinds of things said between the introduction and the body. Into the proposition our four part analysis collapses three different classical sections of a composition, the three sections traditionally labeled narration, exposition, and proposition, each of which might involve different functions which might either be omitted or variously discharged. Sometimes one explains how the subject arose, why it arose, when it had arisen previously, what had previously been said of it, or why it must be discussed again; sometimes one states the main points, and the two or three parts of the main point; sometimes one states the main point and explains and defines it, negatively or positively, or sketches the history of the key terms or ideas in uses. There are, in short, lots of different things that go on here--and to equate them with a thesis statement will be rather too much of an oversimplification, although unless adroitly handled the exercise may well suggest such an equation to the students.

Finally, the exercise may prove inadequate in what is implies about the manner of the proposition. After teaching the inclusion of a thesis statement and getting a batch of papers in which the students have conscientiously and mechanically includes thesis statements, one is sometimes inclined to feel that he has failed to teach important aspects of thesis statements, that there is little point in putting in a thesis statement unless it's done right. But when is it done right? Perhaps a close look at the many different instances of propositions in the student manual will give the student a sense of right and wrong here, even though the rules or guidelines which he would like to have are not available.

Exercise 19: Conventions for Refuting

This will be perhaps the easiest set of strategies to present to the students, certainly the one which lends itself most readily to avoiding the confusion of job or place. This is a job which few students try to do in essay writing, so there is little unlearning to be done, while the strategies are so various in form and position in the essay that it will be difficult for the student to draw the wrong conclusion--that the "refutation" is a place just before the conclusion in an essay.

In the first example from D. W. Robertson, Preface to Chaucer, some refutation is built into or is part of the strategy of the very beginning of the book. While it does work in a rather subtle way, (Professor Robertson in part suggests that his approach, in fact a minority approach at the time his book appeared, is widespread), it will serve its purpose here if the students can simply identify what Robertson says he will do and what he says he will not do. He says he will examine differences between medieval and modern aesthetic theory, and he says he will not explain away those differences or project modern ideas into medieval theory. Since a good many of his readers have been projecting modern ideas into medieval theory (and hence finding medieval artistic practice; e.g., the Canterbury Tales, aesthetically quaint, primitive, or unsophisticated) Robertson's opening seeks to undermine the position to which he is opposed and to get a hearing for a different one.

One might do well to point out the restraint and delicacy with which he seems to approach his own position: "Perhaps" is the word he uses to introduce his most important statement, his last sentence, and, by adding the phrase "suspending. . . our desire to make spontaneous judgments of value," he identifies himself with the tendency to which he is opposed. By the phrase "at least for the moment," he anticipates the argument that one can never wholly divorce oneself from his own time. "Refutation" here is clearly a job, not a "place" in the exposition, a job which is done by word choice and syntax, as well as by statement.

In the second example, the job is done in the middle of the essay: the writer has developed an idea, and now seeks to entertain the objections to it. To signal this intention he uses the form "admittedly," and you might wish to ask kids to work this form into their next piece of writing: they almost cannot use "admittedly" appropriately without doing the job of refutation. This selection is a bit more complicated, however, for the writer builds in a sort of dialogue as part of his description. This building in of objections ("But all children aren't capable. . .") and of answers ("the answer came") serves in part in this case to include and refute ideas that a reader might hold, and also to give some authority beyond that of the writer to the refutation. You have here another formal device that you will seldom find in student essays but a device which can easily be picked up--once it is pointed out to the students.

Here again one sees syntax--the emotional repetition of "no one," for example--also being used to do the job of refutation.

The third model selection, from Thomas Griffith, "Go East, Young Man," is also medial in its original context. But here the technique of refutation is a bit more commonplace: the writer puts in the objection "so we didn't always practice our belief in equality;" and just answers "So what?"

In the fourth instance, we again have a formal signal ("it will be objected") to say "Refutation coming." And again you can ask the students to include this signal in their next writing: they absolutely cannot include it without refuting, although they may still shoot down a frivolous objection and ignore a serious. Another signal is the use of "but" to begin a sentence, although this one is less resolute, since "but" structures are used for many other jobs as well; often consecutive "but" structures signal refutation, e.g., "But you will say . . ." "But I answer. . ."

The way the fifth sample works is obvious, but it should be of interest anyway because it is a footnote. Refutation is a job done everywhere in an essay, except in the title perhaps, and if one looked closely I suppose he could find some refuting titles, too.

Traditionally, however, the refutation frequently done just before the conclusion has received most attention. In the sixth, seventh, eighth, and ninth examples the students find their first instance of such localized refutation. Even here, the formal signals--(to cite only those in the sixth sample) "But," including a character ("Professor S"), "might. . . certainly"--Bear close analysis, and suggest that refutation is done not just in a place, or in what is said, but rather in the very build of the sentences. Again, one might get students to do the job of refuting in their own writing by asking them to examine closely and to imitate carefully the professional use of these forms.

The last example is a bit more interesting, for, although it is the localized variety, it proceeds largely by definition, suggesting that those people who object to Justice Black's advocacy of "absolutes" just don't understand that by "absolute" Black does not mean "absolute," that is, the refutation depends upon definition, and one which is not entirely a matter of public convention, at that.

Exercise 20: Conventions for Ending

With endings, we are back on ground which may be familiar to students; yet, the main ideas of the exercise may not be. One of the main ideas is that the formal signals conventionally used for endings are more various than the ones the student usually uses, "In conclusion," "To summarize," etc. A very frequent ending signal is part of the first illustration--reference to the beginning of the essay. This illustration includes two other ending signals as well: "To put the whole thing into a single sentence," and the aphoristic last sentence. Like "in conclusion," these and many other forms say "conclusion follows." They are like signs which tell the driver what's ahead, or, in some cases, present conditions. They are a bit stylized and ritualistic, and the more sophisticated forms tend to serve in beginnings as well as in endings: this is what one would expect from viewing beginnings and endings of essays as gestures--as handshakes, which after all, serve both at meeting and at parting.

Similarly in the second model, that from Joseph Wood Krutch, there are several features which often appear in endings--an authority is cited, the humble bit ("I do not know"), the summary ("I do think . . ."), the clever illustration of his point ("one more good cliché. . ."), and the straight out telling you ("to end with").

The third model is considerably more difficult. You might use it initially only to suggest some sense of proportion--that beginning and ending take up only one sixth of the paragraphs in the essay, and that the ending may be more than one paragraph in length. The questions in the student packet, however, ask for still closer analysis, and this analysis may prove too difficult for what results. In fact, there is little connection between the beginning and ending, little beyond what one would expect from the title. But there is that little--the references in both to artists and scientists.

There is also a reverse development of thought in the two; as the former narrows from the possibility of considering future, present, and past to considering only present and past, the latter moves from present to the future, and from considering us to considering "the condition of man." Thus one might find the last sentence of the essay, somewhat modified, first in the essay: it does have the potential of being the platitudinous generalization with which essays often open. But it doesn't work that way here. It comes after some emotionally high-pitched syntax. The repeated sentence openers build something of an emotional climax, and the final sentence is dramatically contrasted in length with the one just before it. Thus the concluding sentence as it is used is a climactic sentence, one which comes as a capstone, one which gives us a clue that the primary function of this ending is cohesive, to establish the identity of the vision of the reader and writer, although sentences in it are expressive and directive, too.

In the fourth selection, the students should recognize some of the devices used--as similar to some noticed earlier: the use of authority, the use of the clever aphorism, and the thread of referring to one of the show men quoted in the beginning. But they should also notice the use of the rhetorical question to indicate that it is time for the summing up, the conclusion. And there is also some interesting refutation involved in this summing up, the praise (measured) of Al Capp.

The fifth model seems sure-fire, once it is clear that what is said in the model should be pooh-poohed. The devices used are largely familiar, although you might point out that the last work of the ending "curse" rather gives the author away: this is essentially what he has been doing in a genteel and scholarly manner, using language expressively to protest what he sees as present conditions.

The sixth model is again more challenging. There is no formal linking thread that I can see between the beginning and ending. There is a clear conceptual relationship, however, for the ending--a summary--does "grasp the link between defective literature and the society of which it forms a part."

The ending itself is formally interesting, though, in several respects. The stance of the speaker is particularly interesting; it is created by the use of such forms as the modal auxiliaries "may," "might," and "could," by the use of "one," "in any case," and the sequence of sentence openers--"and yet," "to some extent," and "in any case." The author sets himself before us; a diffident speaker who appears to be very fair minded, yet in the final paragraph takes strong positions. And the final sentence, the point of the essay, might have served either as a beginning sentence, or as a proposition.

The seventh and eighth models should give no trouble.

III. SUMMARY

A. Composition Exercises

Exercise 21: Finding a Topic

As we observed earlier, this unit is likely to be a classic instance of preparing instead of doing rather than (as it seeks to be) or preparing for doing. Perhaps this last exercise will keep the unit from being only talky-talk, although the exercise has its own talky-talk problems, since, stage by stage, it seeks to talk the students around and through the problems of writing an expository essay. The exercise has four parts: (a) Getting a Topic; (b) Focusing a Topic; (c) Recalling Facts and Taking Positions; (d) Presenting Them.

The first part, "Getting a Topic" may well be the most important ultimately, although initially it may well seem to be dead wood. The point of the preliminary questions is that, in the student's normal experience with language, the situation within which the language occurs solves the problem of finding something to say. Or more accurately the problem never arises. What one is to say is implicit in, is dictated by, the situation. The language nearly always occurs as the filling in a sandwich. Yet the situation--the slices of bread--are so omnipresent that we take them for granted; we customarily ignore them in seeking to solve the problem of finding something to say in writing an essay.

The consequence of ignoring them is that we often lead students, or we ouselves, to end up using language to do something other than to inform. We vent emotion (expressive use) or repeat platitudes or trivia (cohesive use). That is, our student essays come out sounding like a child's Christmas letters to his old maid aunt, desultory conversation, or, sometimes, hate or love letters. The student who is asked to turn in an essay on any old subject (situation i in item f), or the student who is asked to turn in an essay on a given subject (situation iv) is likely to be in the strange and atypical situation of using language in isolation from the situation in which that language is used. He is likely to be in a condition analogous to a man who walks into the grocery store, walks up to the meat counter crowded with customers, and says in a loud voice, "I want you all to study Browning's 'My Last Duchess' for tomorrow." This man is likely to end up in a paddy wagon; at the very least one would have to say that his language is not likely to be effective.

A student who is in a situation like ii, iii, or v, however, is in a situation which dictates the language, what needs to be said. What are the elements of these situations? knowing something, being concerned about ideas, and having some one to speak at--an audience. That is, the problem of finding a topic is probably a problem of motivation, and the problem of motivation in writing essays is probably to be solved long before the assignment is ever given. To learn to write expository prose--to learn to use language like professional writers of essays in given subject matter areas--the student must first be in a situation like theirs. And when he is, the problem of finding something to say is dictated by that situation--by his knowledge, insight, and concern both for these ideas and for telling someone about them.

Hopefully, students of this curriculum will be in such a situation. But some won't be, so finally this part of the exercise admits defeat, and ends by suggesting some essay topics. The students should be encouraged to avoid these topics if there is any possibility that they have fairly recently become fired up about any others--and know something about them.

Exercise 22: Focusing the Subject

Again, the point of the first step in this exercise is to suggest that normally in using informative language one has a pretty good notion of what he wants to say. This problem is not what the student may well feel it is--to select from among an infinite range of ideas; it is instead to select the most effective formulation of his idea.

In the second step, the student is asked to go through a process of recall, essentially. This may be obscured if he chooses his topics mechanically, for the specific questions will then ask for knowledge he does not have. The questions may also be serviceable, still, for they then indicate what the students must set out to learn before attempting to focus their topics. The students should recognize that the questions are of the type presented in earlier sections of this unit. They ask for observations or facts (generalizations, descriptions, hypotheses), judgments, or urgings of policies. That is, the student in effect is asked to think of focusing his topic in terms of the three primary uses of facts previously noticed--to inform, judge, or plan.

In the third step, the student is asked to identify his audience and context and the implications this has for his choice of strategies in writing the essay.

Exericse 23: Invention: Recalling the Facts and Taking Positions

This exercise in effect elaborates the second step of the preceding exercise.

The first part again makes the point that, if one is in an artificial situation, he may try to turn the sequence of steps upside down--to take a position before knowing anything, with ludicrous results. The student may also be in the siutation of having a tentative position and needing to investigate further to see if it is borne out. Or he may know everything, but simply need to recall the significant and choose strategies for presenting it. Ideally he is in the last position, and then the questions serve as a guide for recall. In fact he probably is in the second position and then the questions serve as a guide for further investigation. The organization and intent of the exercise is reasonably transparent; yet, a good many students may well fail to see that the point of the exercise is to get them to ask parallel questions for other topics, that the exercise is primarily to show how to use the many questions they examined earlier on the unit. You may well want to make a supplementary class exercise in which the class takes a topic which they have all recently studied, perhaps a literature unit, and collectively make up a set of questions for it analogous to these.

Exercise 24: Arrangement: Getting It Said

If this exercise is not self explanatory for the student, it is probably fair to surmise that we haven't gotten It said.